ROCIS How-To Guide for Agency Users of the Document Review Module

December 9, 2015

Regulatory Information Service Center
(RISC)

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1. HOW TO Log Into ROCIS

If you are logging into the system, please point your browser to www.rocis.gov

Read and select the Accept Terms on the Warning Screen.

Enter your User ID (normally, your first initial and last name) and Password (initially rocis123 until you change it to your personal password, as directed by the system). Select the Done button on the ROCIS Broadcast Message screen.

Matching Agreement (MA) and System of Records Notice (SORN) processing are part of the 'Document Review' (DR) module of ROCIS. You may be taken directly into the DR module inbox or to a screen requesting you to choose between two or more of the ROCIS modules, depending on your ROCIS privileges. Please select 'DR' to use the MA/SORN facilities.

2. HOW TO Change Your Password

Whenever your password is set to rocis123 or your password has expired, the system will force you to change your password when you log in. On this 'Change Password' screen, you will need to enter your new password twice. Be sure that your new password conforms to all of the rules given for password formation. Click the 'Change Password' button. You will receive a confirmation message from the system indicating that your password has been changed.

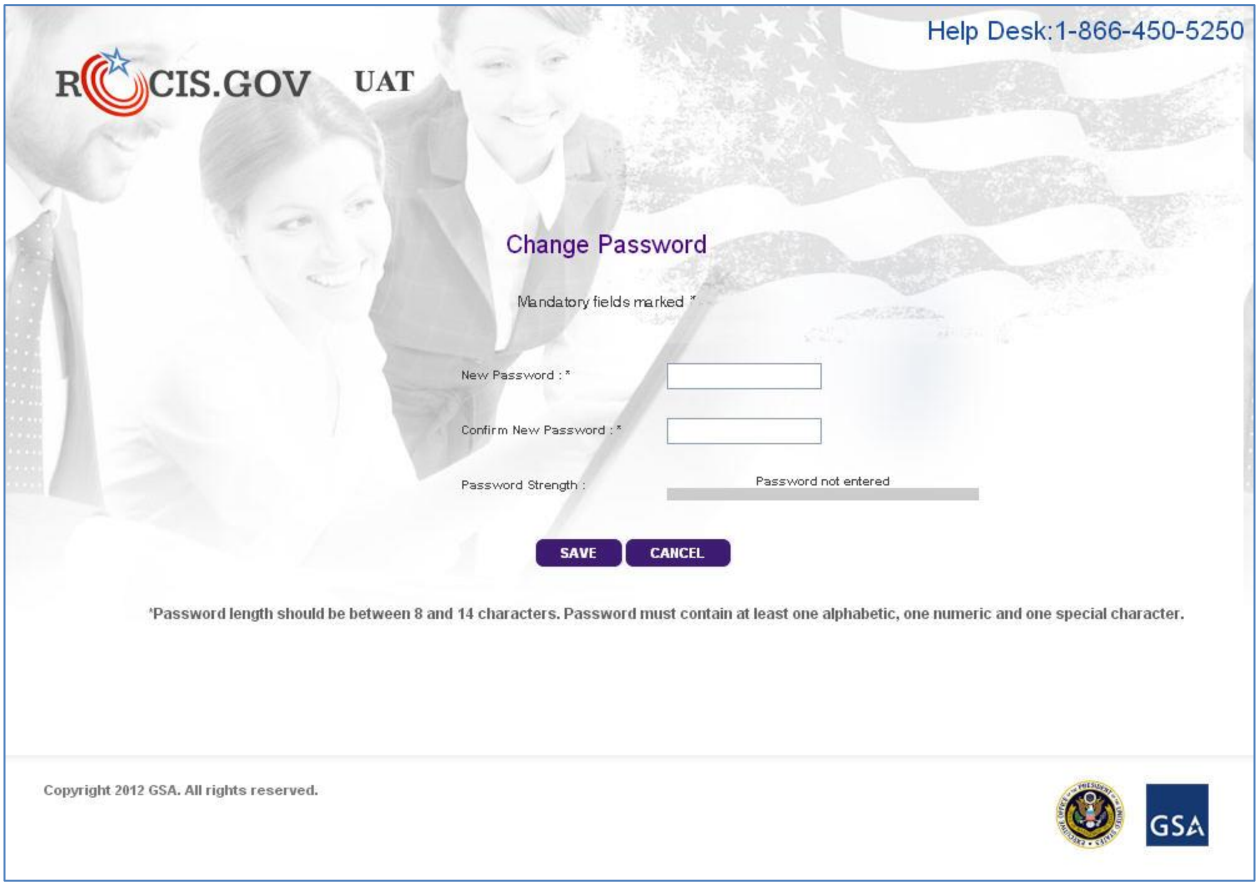

Figure 2.1: Change Password Screen for New Account

Your ROCIS password is good for 90 days; then, it will need to be reset. About two weeks before the password expires, ROCIS will give you a warning whenever you log in that your password is expiring in XX days.

To change your password, choose Change Password from the Admin drop down list.

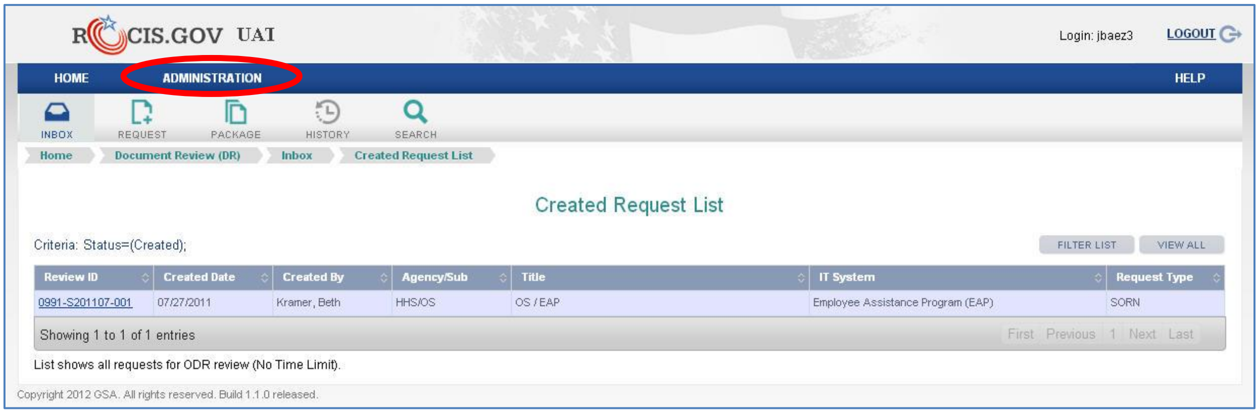

Figure 2.2: Admin Tab on Tab Row Screen

You will need to enter your old password, your new password (must be at least 8 characters, must have one number and one special character—like oira@1234) in both boxes as indicated. Click the 'Change Password' button. When you get the confirmation screen, click 'OK'. Please do not share your password with anyone—this would be a violation of the Security Agreement that you signed and could result in the loss of your access to ROCIS.

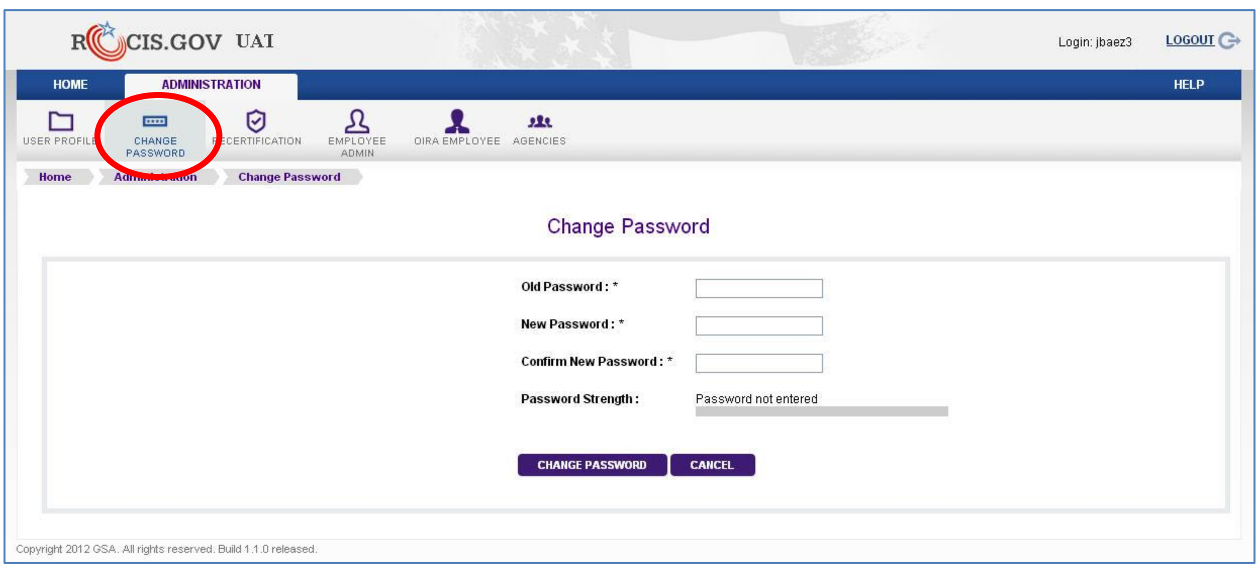

Figure 2.3: 'Change Password' Tab on User Detail Screen

3. HOW TO Review and Change Your User Profile

Upon successful login, you should arrive at your Inbox. If you are an Agency user, you will arrive in your Created Request List. Take a moment to look at your tabs and sub tabs at the top of the screen. Select User Profile from the Admin drop down on the top line. The User Profile tab provides you a place to view and update your user information.

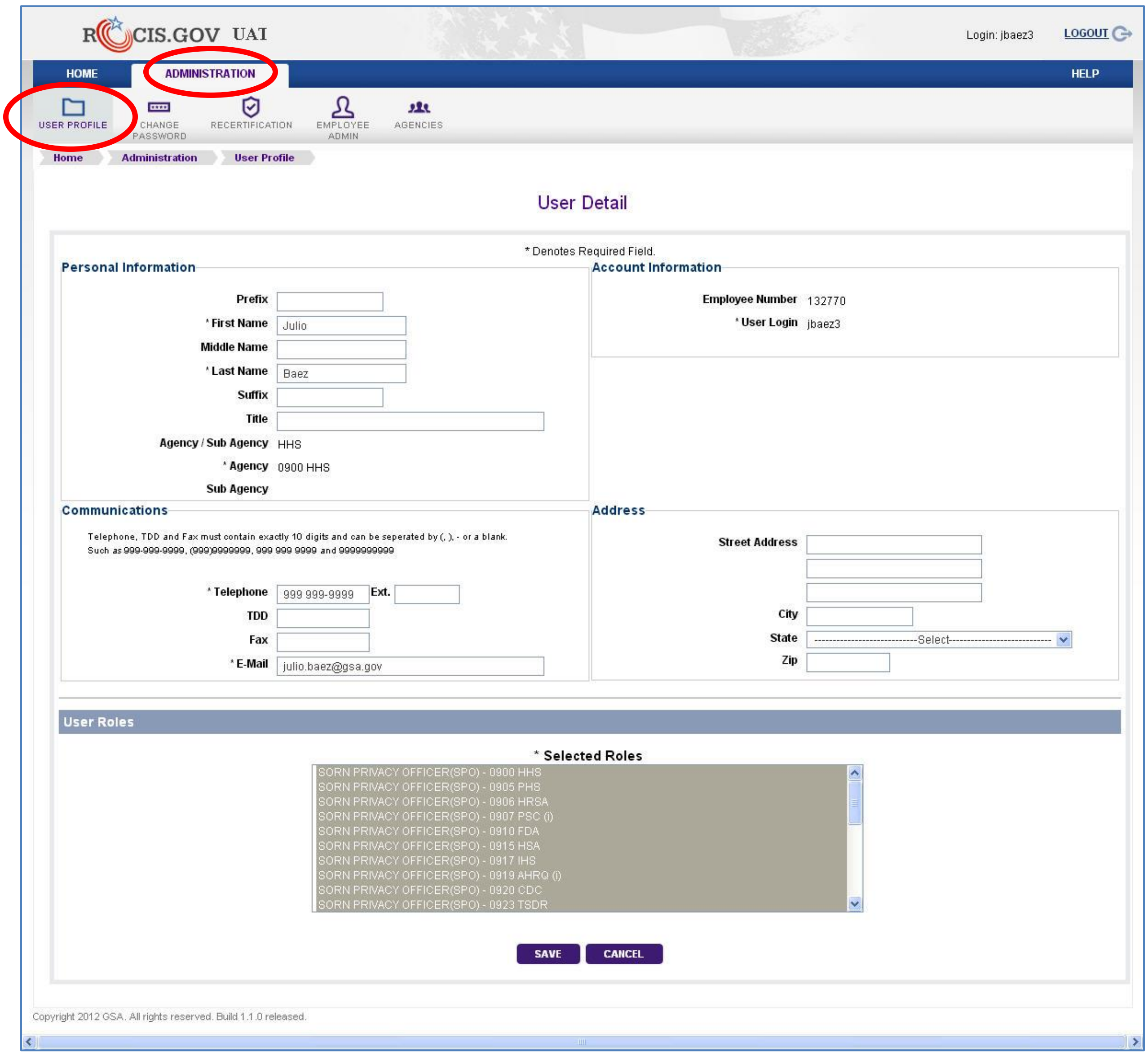

Figure 3.1: Admin Tab to Change User Profile

Upon initial entry, please verify and make appropriate changes to any information, paying particular attention to your telephone number and email. Then, be sure to save your information. The Save button is at the bottom of the screen.

Please be sure to return to the User Profile to modify your personal information, such as your phone number or email address, whenever changes occur.

Your profile will also display the role(s) that have been assigned to your user id. A complete discussion of the agency SORN roles can be found in Appendix B.

To leave the User Profile page, scroll to the bottom and click ‘Save’ (if you changed anything) or ‘Cancel’. This will take you back to the ROCIS Employee Administration screen.

4. HOW TO Use the ROCIS Employee Administration Search

The purpose of the Employee Administration Screen is to allow ROCIS users to find other ROCIS users via the search capability. For instance, if you would like to send another agency's SORN Privacy Officer (SPO) an email, you are able to search on the SPO role for the agency and receive a list of contacts. If a SORN Administrative Contact wants to identify a list of preparers (SORN Preparer or SPs) for his/her agency, this is the screen from which to do the search.

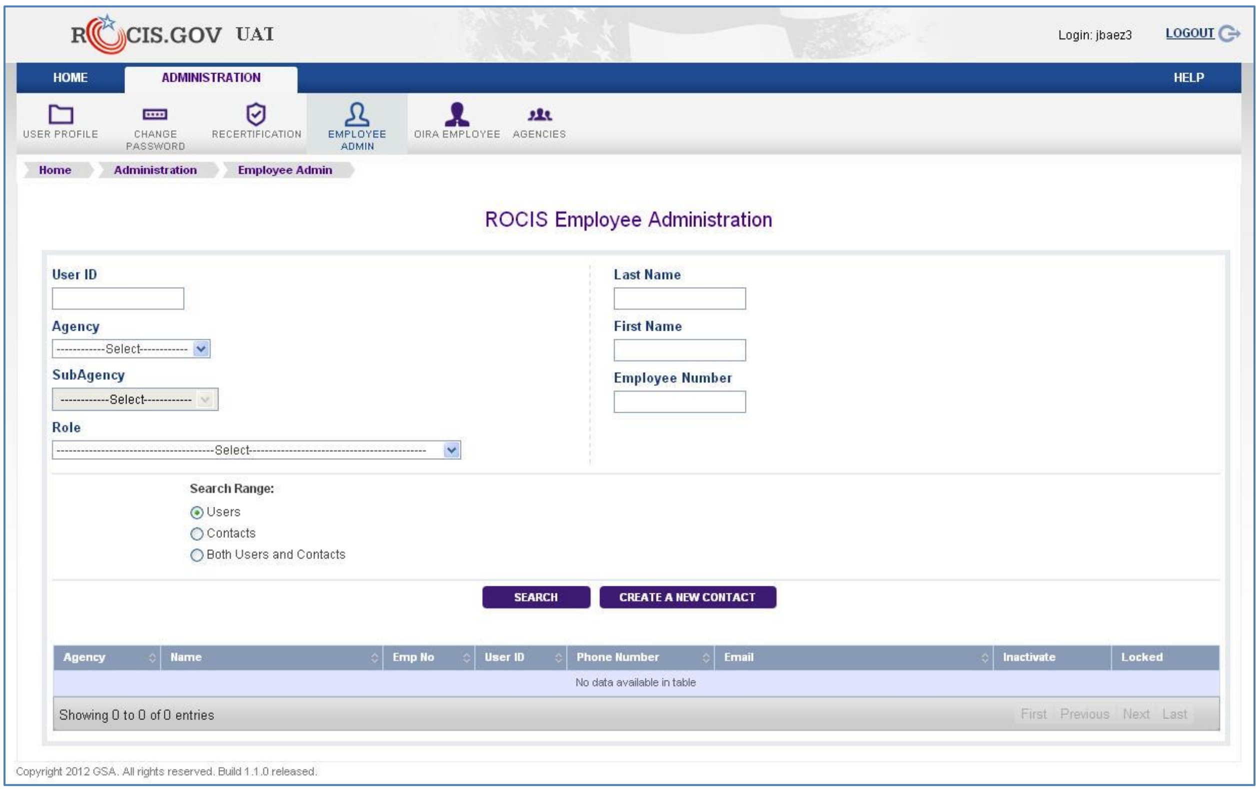

Figure 4.1: Employee Administration Screen

If you are the SORN Administrative Contact, it is a good idea to periodically check the authorized users for your agency. Simply enter your agency code, select any of the agency SORN roles (see Appendix B for a complete description) from the Role drop down list, and click the 'Search' button. If the resultant list reflects users who have left your agency and still have active accounts, please contact the ROCIS Help Desk at 866-450-5250 so that the accounts can be inactivated and locked.

When you have satisfied your ROCIS administrative functions, click on the DR tab to return to the Created Request List Inbox for Agency users.

5. HOW TO Use the Inbox and the Home Row of Tabs

When you arrive in the ROCIS DR module after successfully logging in, you'll be in the Created Request List Inbox, with a row of additional tabs to choose from. Think of this as the top of the desk in your office where you are working to create, prepare and track SORN requests.

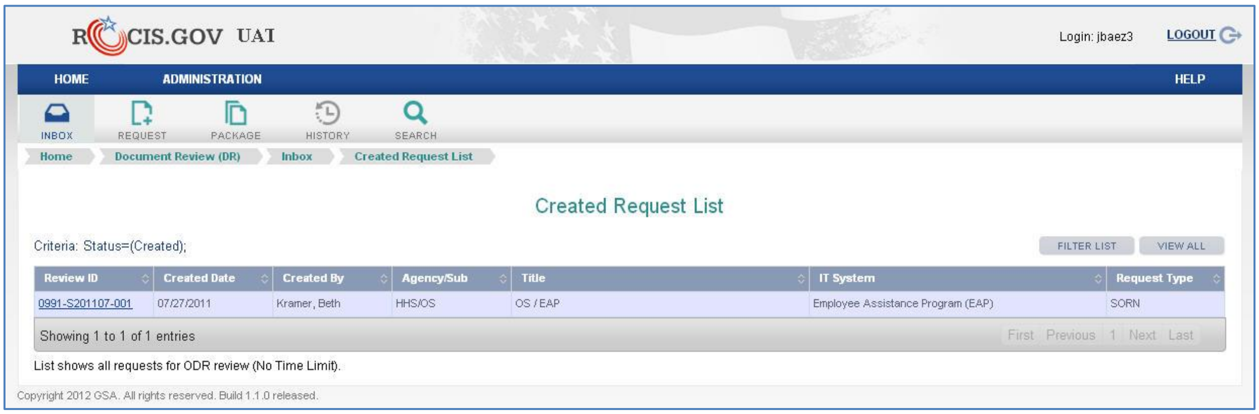

Figure 5.1: Agency Created Request Inbox

The first tab is for your Inbox. Your Inbox has six components, all of which can be viewed by moving your mouse over the Inbox tab.

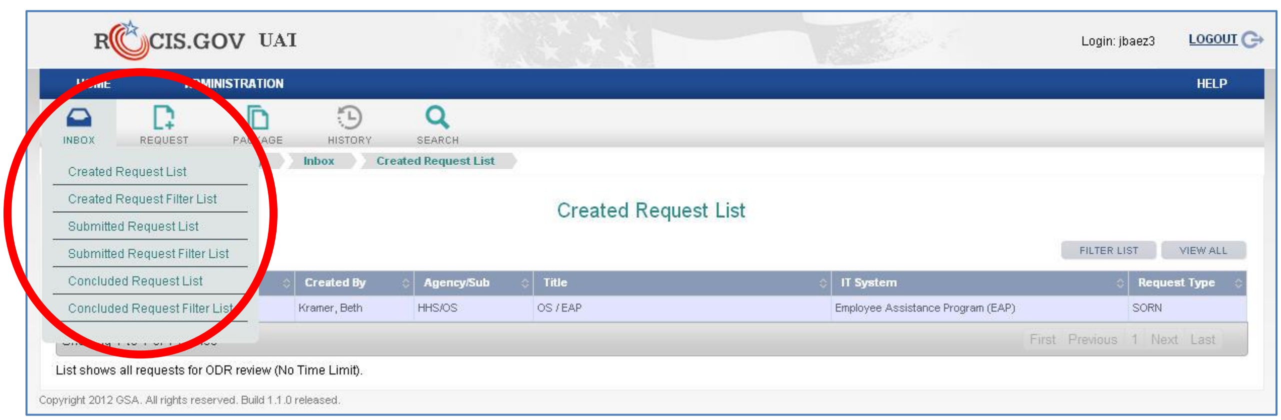

Figure 5.2: Options under Inbox Tab

The six components are:

The Created Request List: The default. This is where you will find all created MA and SORN packages to which you have access. Once a request is created, it will remain in your Created Request list until it is submitted to OIRA or deleted from ROCIS.

The Submitted Request List: This portion of your inbox will list any MA and SORN packages submitted to OIRA. Submitted Requests will be reflected in this list until the request is reviewed by OIRA.

The Concluded Request List: Requests that have been reviewed in the last 30 days are reflected in this list.

Filter Lists: Each of the three sections above has a ‘filter’ option which allows a user to search through the related Inbox section for a specific request or requests. This is extremely useful if any box contains a large number of entries.

Regardless of the portion of the Inbox you are in, you can sort on any column heading to organize your work space. The sort works like a toggle switch. The first time a user clicks on the column heading, the column data is sorted in a default order. Clicking the column heading a second time will result in a reversal of the sort order.

6. HOW TO Create and Edit a SORN Package

When you are ready to create a SORN Package, choose 'Request' from the Home Row. You will see a drop down list with two items, 'System of Records Notice (SORN)' and 'Matching Agreements (MA)". Select the SORN option by highlighting it with your mouse and left-clicking once.

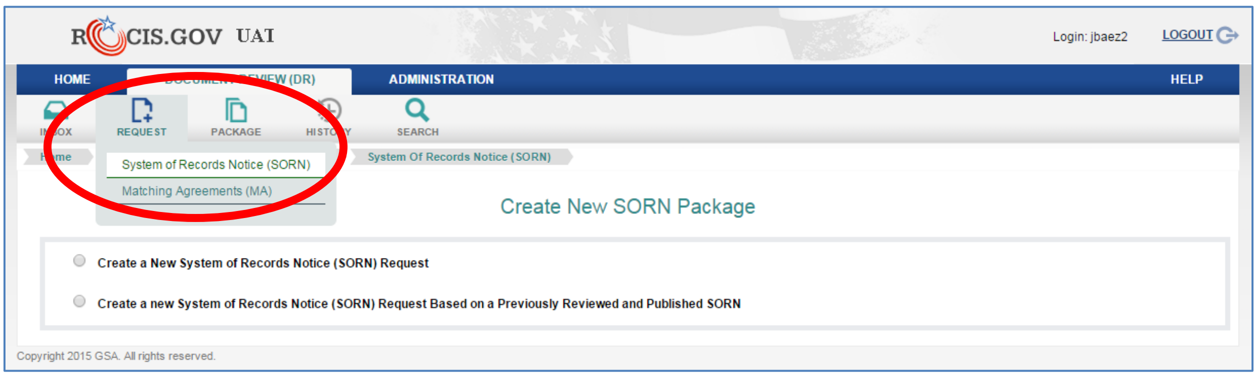

Figure 6.1: Create New SORN Package Selection Screen

You will be presented with a new screen, showing two ways to create a SORN package. The first option is used when creating a new SORN package with no SORN related Review ID.

The second option is used when creating a new SORN package related to a previously reviewed SORN that has already been reviewed by OIRA through the ROCIS system and published in the Federal Register. The OIRA conclusion action must be either 'Reviewed with Change' or 'Reviewed without Change'—it cannot be 'Improperly Submitted' or 'Withdrawn'. When choosing this option, a new SORN request will be created for the same agency/subagency as the related SORN, and many data items from the related SORN request will be copied into the new request.

To discuss all of the data items for a SORN request, the first option will be selected for this example.

After choosing to create a new SORN package, the screen below will be displayed. Users must select an agency, a subagency if appropriate, and enter a title and abstract.

Whenever ROCIS supplies a drop down list of values from which to choose, there is a small arrow at the end of the input box. For agency and subagency, ROCIS will display the values that the user is authorized to access.

Matching sets of upward and downward pointing arrows indicate that the input box allows scrolling. So, for example, if the abstract entered is greater than can be displayed in the box, the user can scroll up or down through the text.

Notice the three buttons underneath the Abstract text area. A user can check spelling of text items using the ‘Check Spelling’ button, save the data entered to date and create a new SORN request with the ‘Create’ button, or erase unsaved data with the ‘Cancel’ button.

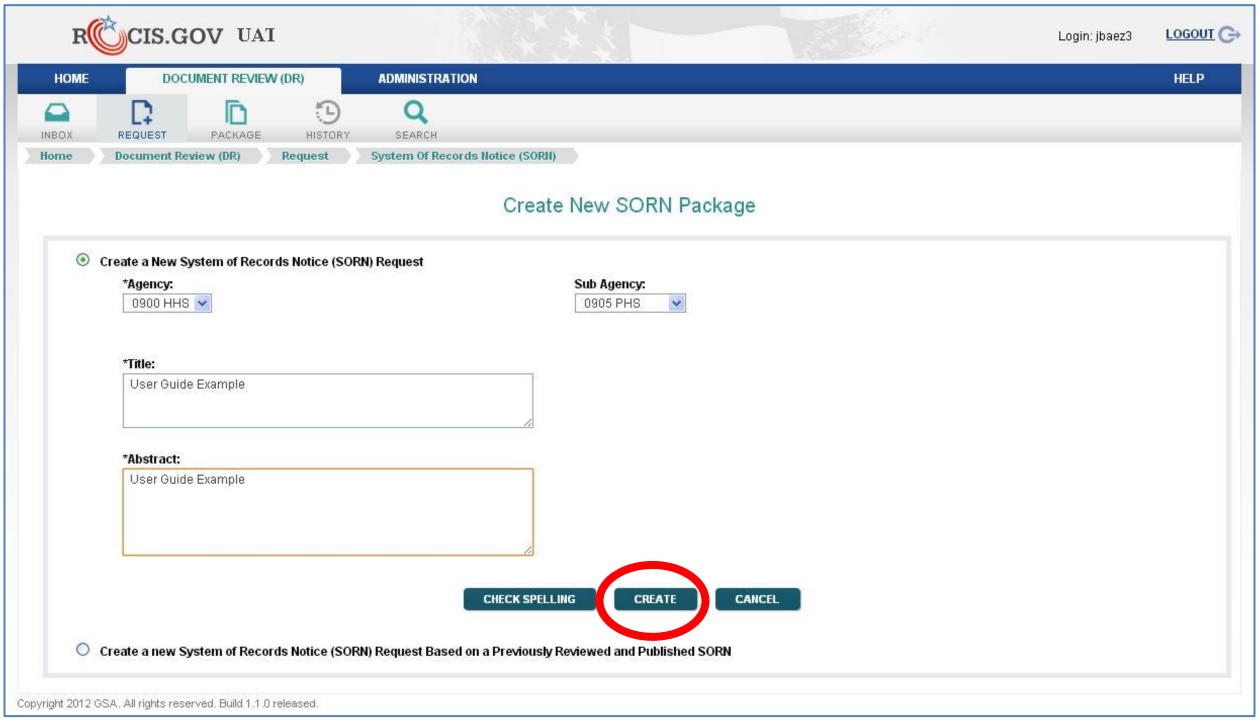

Figure 6.2 Create New SORN Package Data Entry Screen

After the request has been successfully created, the user is transferred to the 'Edit SORN Request' screen. The agency or subagency number and acronym are displayed, as well as the unique SORN Review ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also at the top of the screen is a link to the 'Manage Documents' portion of the SORN process. That will be discussed under the 'Upload Documents' topic in the manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

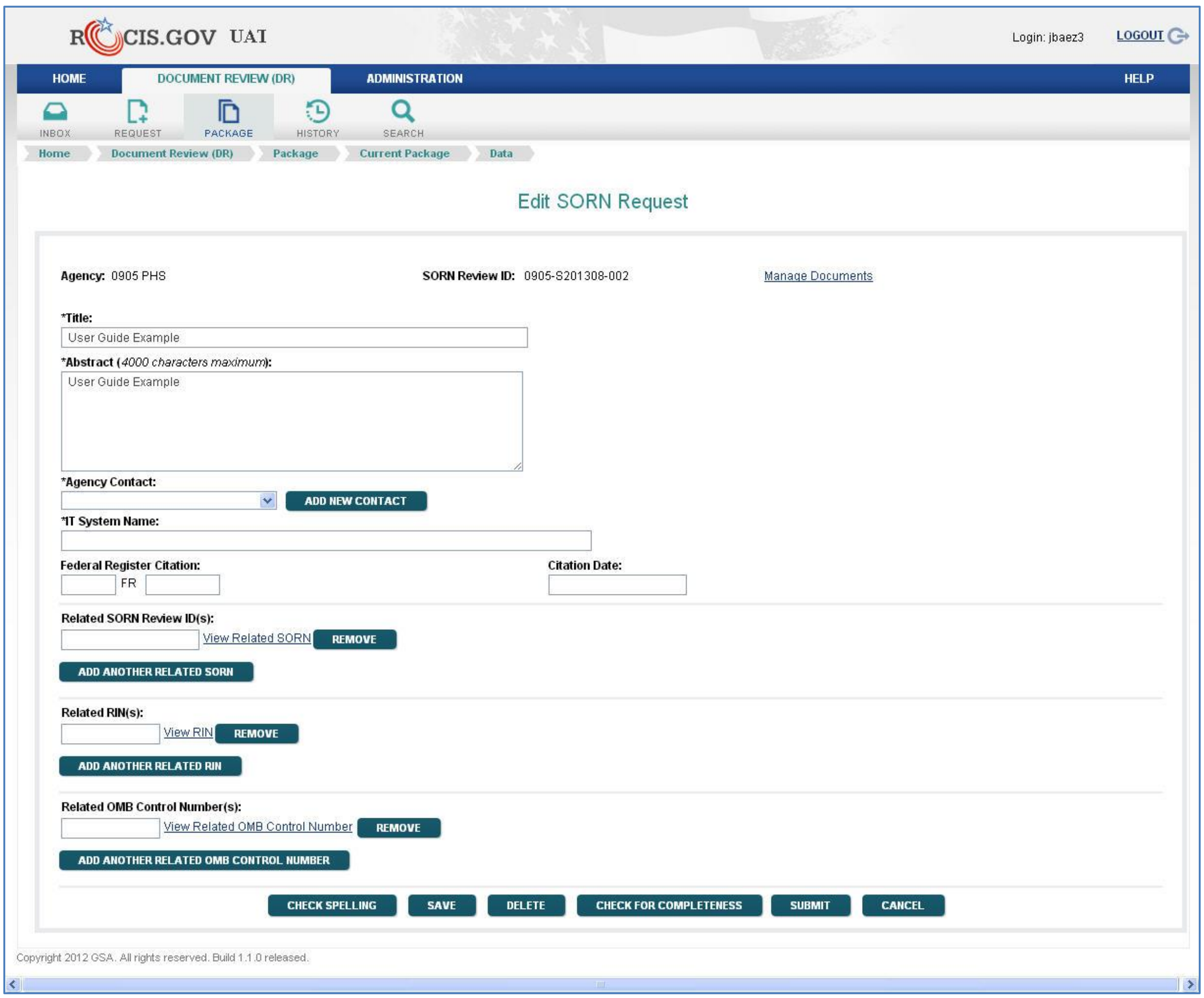

Figure 6.3: Edit SORN Screen

Title and Abstract are required data items. They may be changed on this screen.

Agency Contact is required: This should be the individual that the OIRA desk officer can contact with any questions about the SORN request. If the user clicks on the arrow at the end of the input box, ROCIS will display a list of others from the organization that have been identified as contacts in ROCIS previously. If the name of the appropriate individual appears in the list, simply highlight the name, and ROCIS will select that person. If the name of the individual is not in the list, the user can create a new contact by selecting the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task 'ROCIS Contact Administration'. Enter some portion of the name that you want to locate, and then click on the 'Search' button.

The search results will be displayed at the bottom of the screen. The persons located are not limited to DR contacts. They represent all types of ROCIS contacts, including those for the agenda module, the EO Reg Review module and the PRA module.

If you see the name that you want to add as a contact, click on the name in the search result portion of the page.

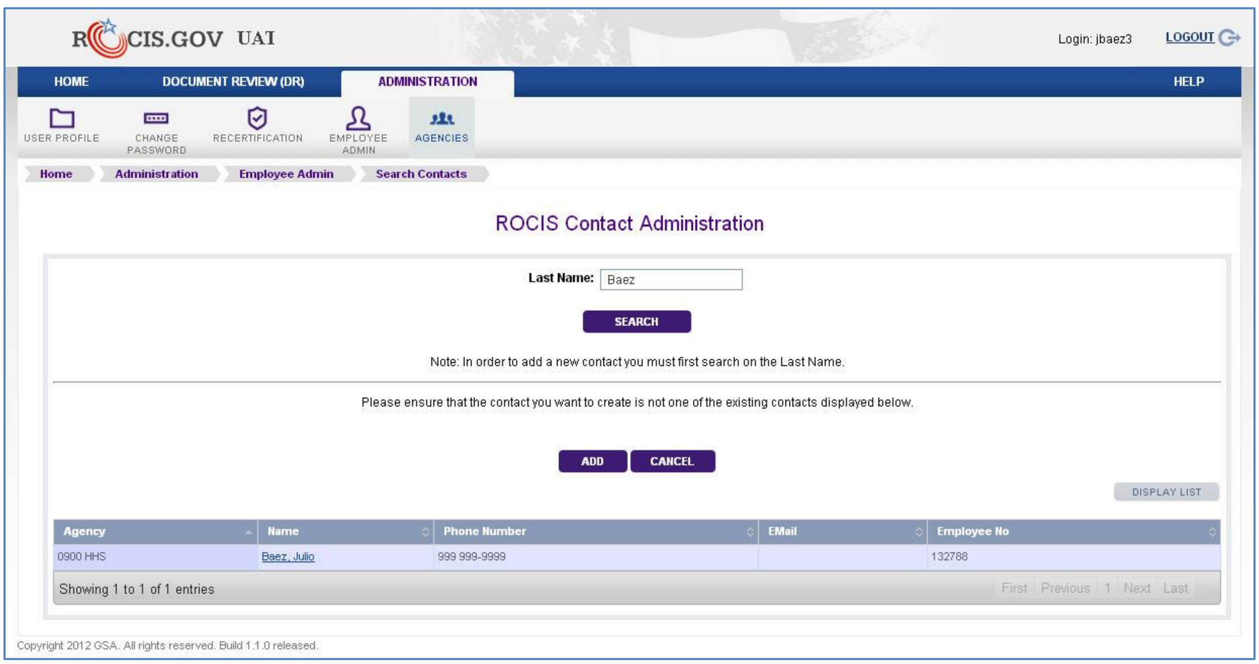

Figure 6.4: Contact Administration Screen

In this example, Julio Baez was selected. Julio is in ROCIS as a contact for the agenda module. That can be determined by noting the check next to 'RIN Contact'. The check and active status are not highlighted because your role does not allow you to change agenda contacts. However, you can make Julio a contact for the DR module by clicking on the box next to 'ODR Contact'.

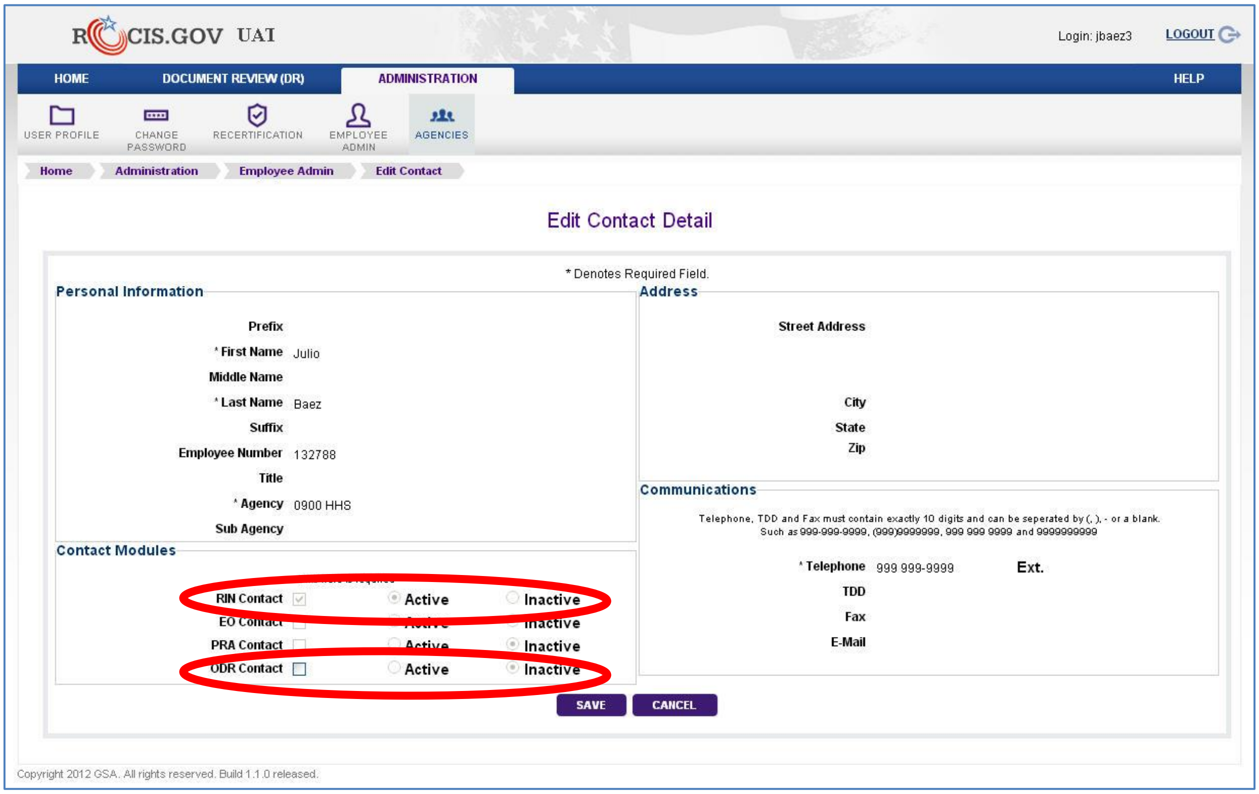

Figure 6.5: Contact Detail Screen

Scroll down to the bottom of the screen and click on the 'Save' button to effect the change. After the information is saved, you will be returned to the Edit SORN Request screen.

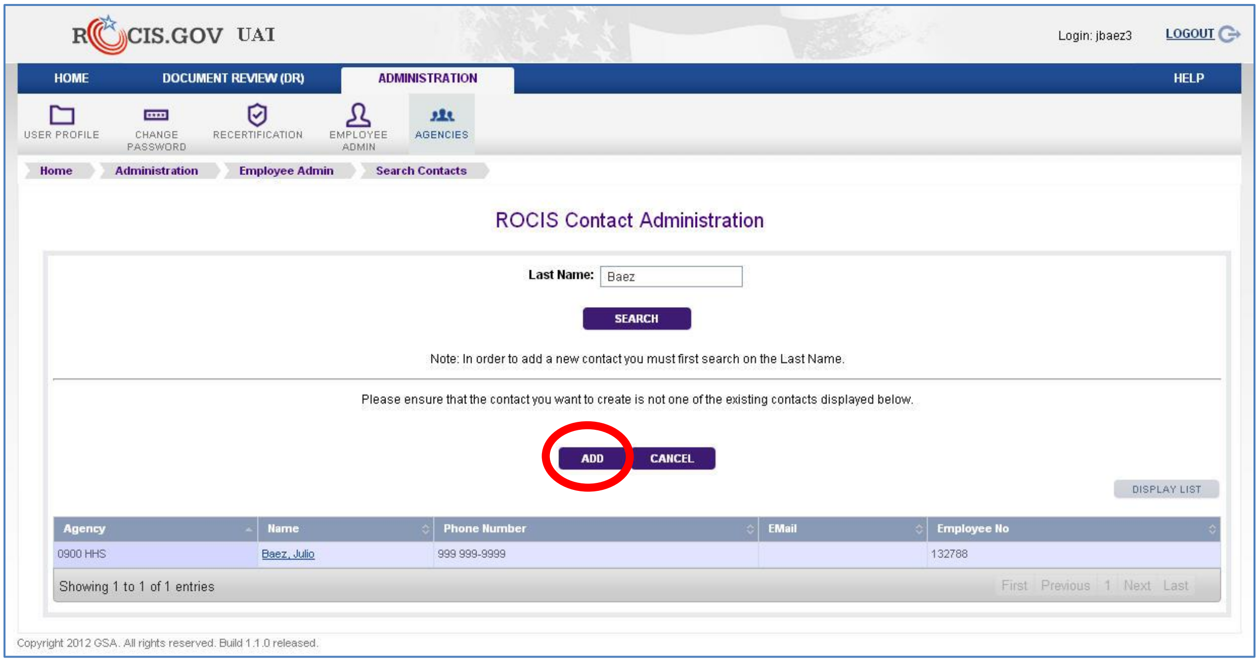

Figure 6.6: Contact Administration Screen (continued)

The ‘New Contact Detail’ screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although ‘Email’ is not required, it is highly desirable that it be entered.

The agency item has a drop down list from which the agency or subagency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with ‘00’, and a number of subagencies. If the contact is associated with the agency code, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

In this example, the user has access to both ‘0500’, the agency code for Department of Commerce, and the subagency ‘0506’, the USDA Office of Communications, so both numbers on listed in the drop down list. If the user selects ‘0500’ as Charles’ (the new contact), agency, Charles Williams will appear as a DR contact for any subagency within Commerce. If he is associated with 0607, she will only be a contact for Census. If someone were to create a DR package for subagency 0605, Charles would not appear in the list. If Charles was supposed to be a contact for 0605, another contact record would have to be added showing her agency as ‘0605’. If Charles should be a contact for all subagencies within Commerce, but you don’t have access to ‘0600’, please contact someone who does and ask that user to set up Nancy’s contact record. You can use the Employee Admin search described above to find someone with access to ‘0600’.

Click ‘Create User’ at the bottom of the screen. The new contact will be saved, and you will be returned to the ‘Edit SORN Request’ screen. All of the contacts that you have selected will be displayed. You can manipulate the order of the contacts by changing the number to the right of the contact information. You can also remove a contact by clicking on ‘remove’.

IT System Name: This item is required. Please enter the name of the system to which this SORN applies.

The remaining data items on this screen are optional.

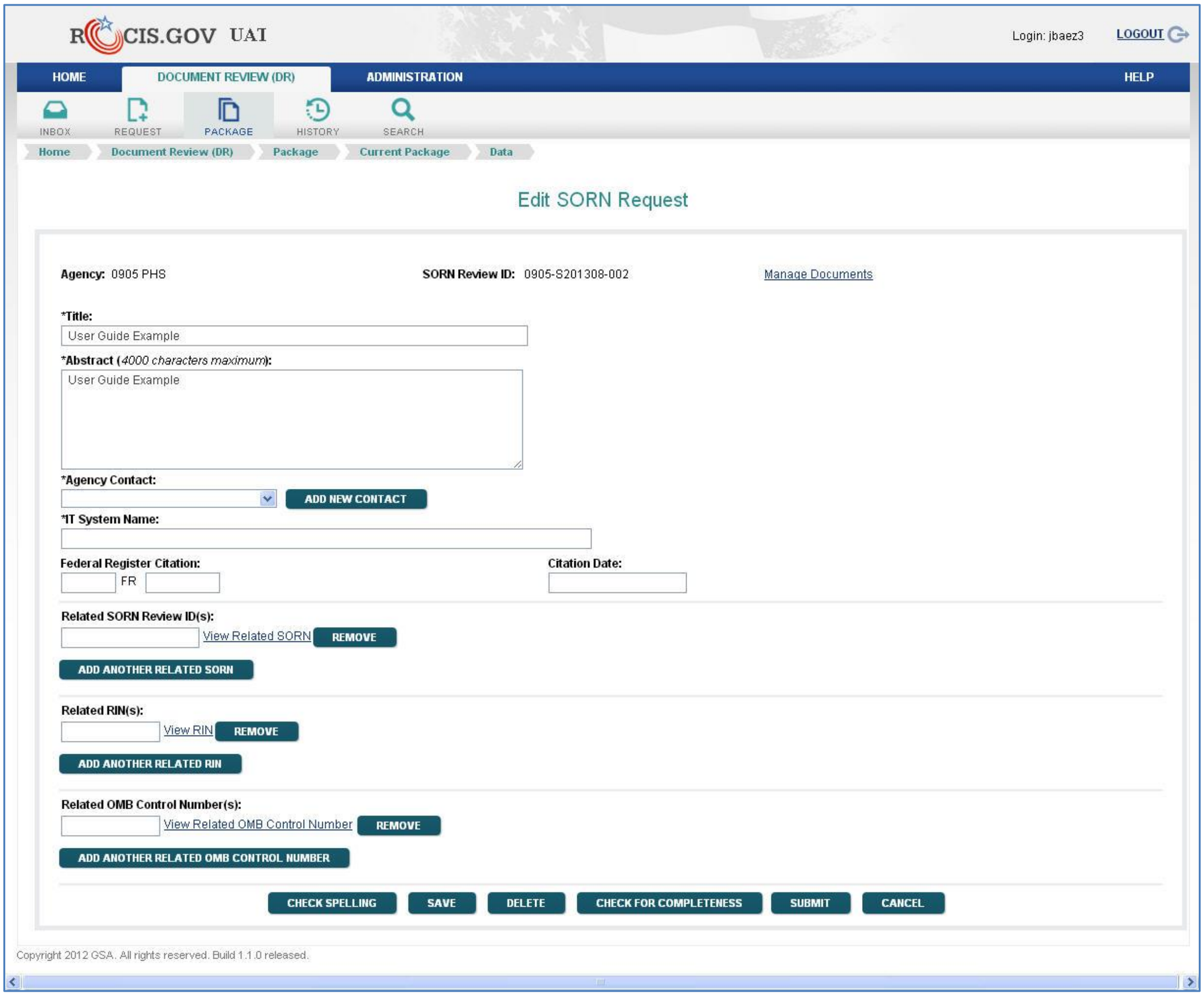

Figure 6.7: Edit SORN Request Screen

Federal Register Citation and Citation date indicate when the SORN in question was published in the Federal Register. If the request is submitted to OIRA at the same time that the notice is sent to the Federal Register, this data will not be available until after the review is concluded. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950.

Related SORN Review ID: Optional field which contains a SORN Review ID for a request that was previously reviewed by OIRA and has a publication date indicating that it has appeared in the Federal Register. A SORN request can only be related to another SORN review if they are for the same agency or subagency.

Related RIN(s): Optional field to indicate that this request is related to a rulemaking that has been entered into the Unified Agenda and assigned a Regulatory Identification Number (RIN) A Related RIN can be any valid RIN, regardless of Agency.

Related OMB Control Number(s): Optional field to indicate that this request is related to a submission under the Paperwork Reduction Act that has been assigned a valid OMB Control Number. A Related OMB Control Number can be any valid OMB Control Number, regardless of Agency.

At this point, all of your data should be saved by selecting the 'Save' Button. (Data can be saved at any time during the editing process). You will then be ready to add the necessary documents to your request.

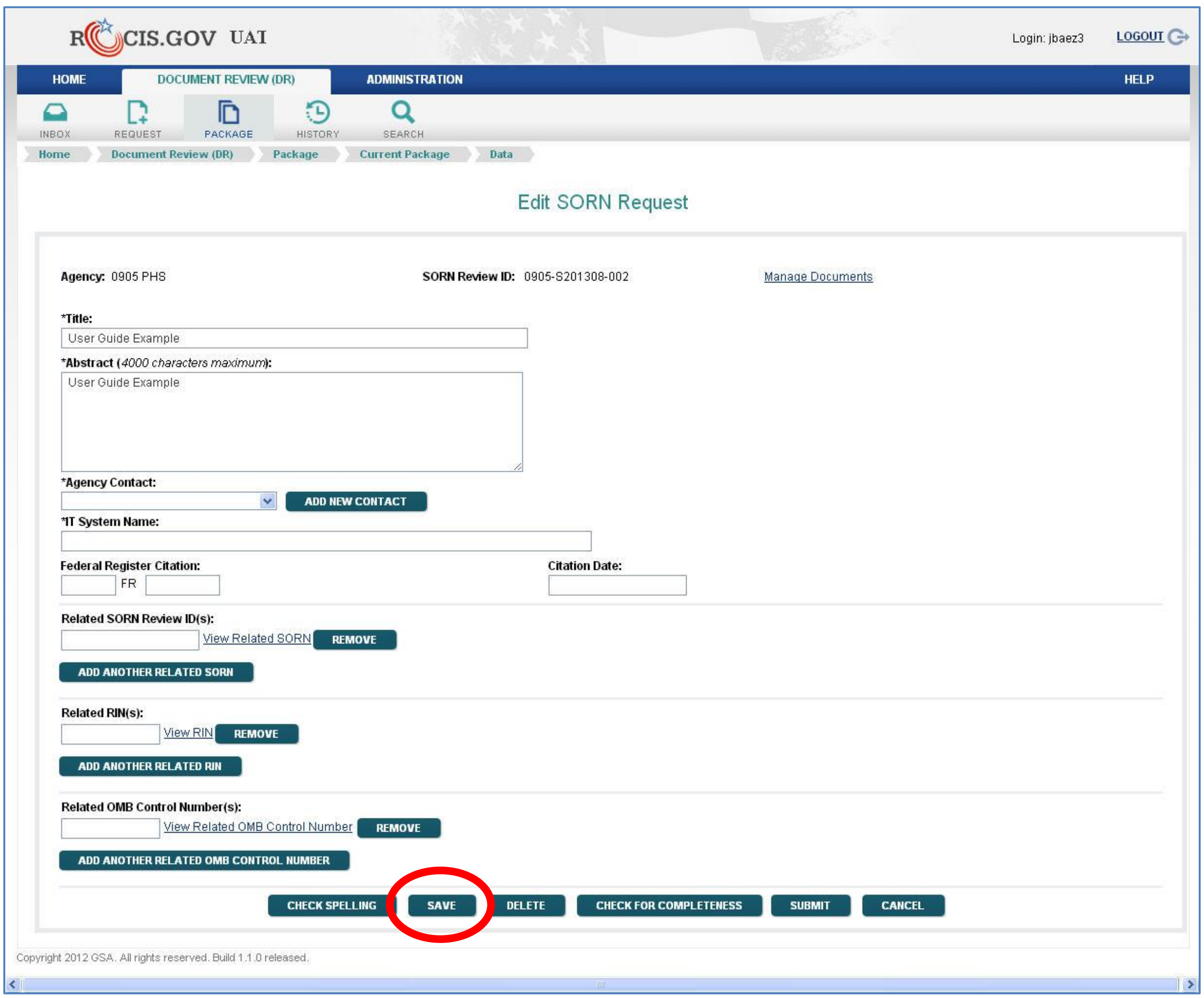

Figure 6.8: Edit SORN Request Screen with 'Save' Button

7. HOW TO Electronically Attach (Upload) SORN Documents

To upload (electronically attach) the required documents, move to the top of the 'Edit SORN Request' screen and click on the link to 'Manage Documents'. Or, mouse over 'Package' on your tab row, mouse over 'Current Package' from the drop down list, and then click on 'Documents'.

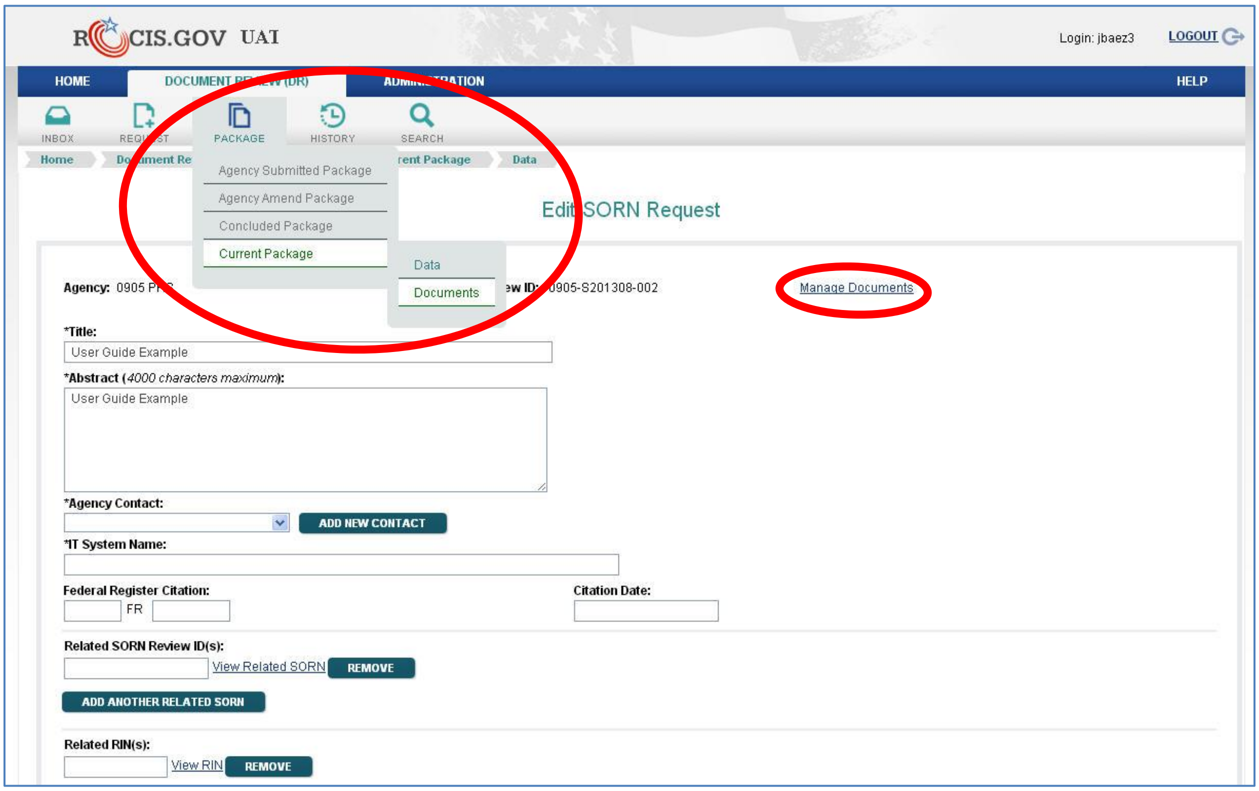

Figure 7.1: Edit SORN Request with Paths to 'Manage Documents'

With either method, the user will be presented with a new screen from which to load documents.

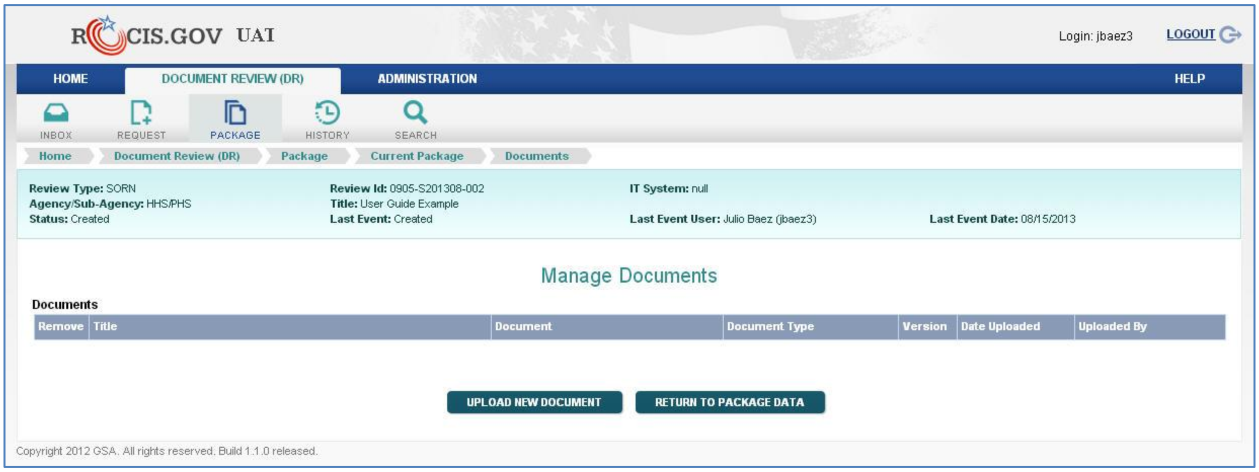

Figure 7.2: Manage Documents Screen

Every SORN request requires a Cover Letter, a Narrative and a Draft Federal Register (FR) Notice. However, the Cover Letter and Narrative can be merged into a single document file. Details on what each type of document should contain can be found in Appendix A.

To upload a new document, click on the button with that label. A new pop-up window will appear, prompting the user for a title and the corresponding document type. The user will select the document type from the drop down list provided.

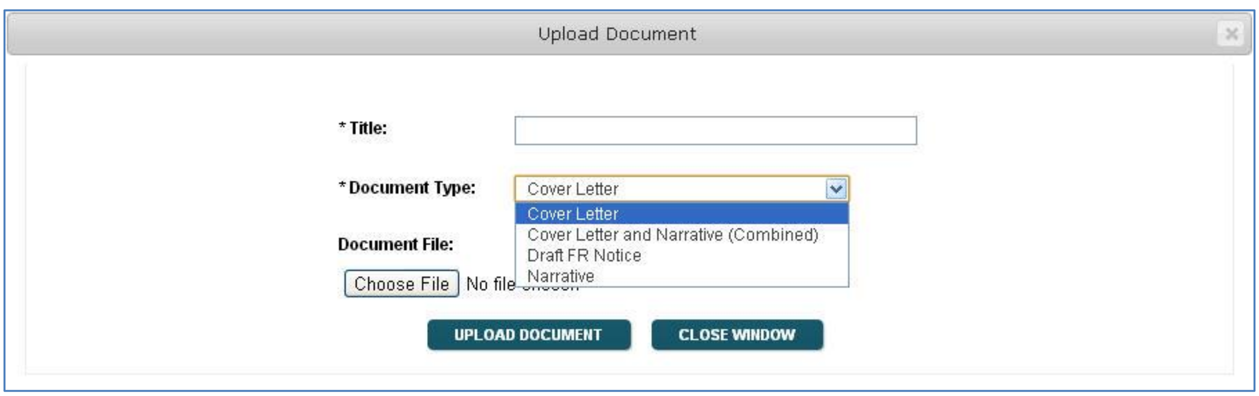

Figure 7.3: Upload Document Pop-up Screen

The third field is for the name of the file that you want to upload. Click the 'Browse' button, and ROCIS will allow you to browse files on your local computer to find the right document. Once you have found it, simply click on the file name and it will appear in the window. Next, click the 'Open' button, and the path to the document will appear in the ROCIS window. Finally, click the 'Upload Document' button, and ROCIS will attach the file electronically to your submission.

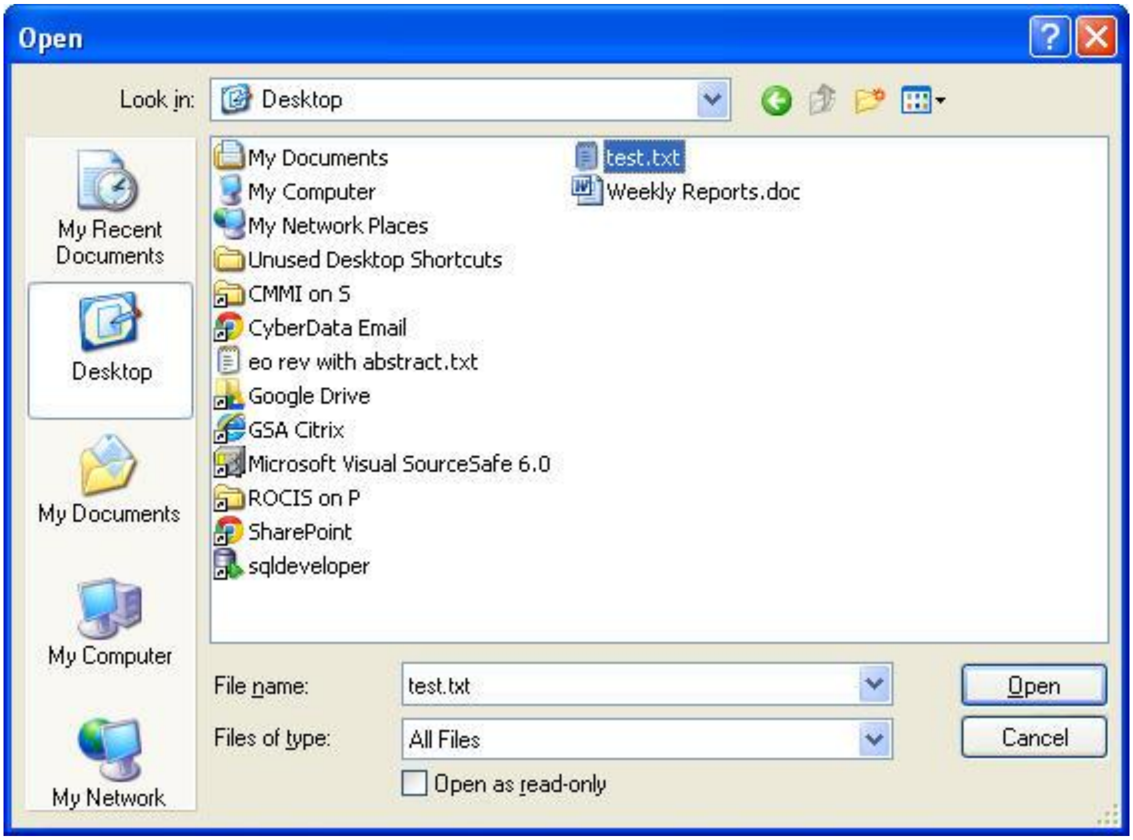

Figure 7.4: 'Choose File' Pop-up Screen

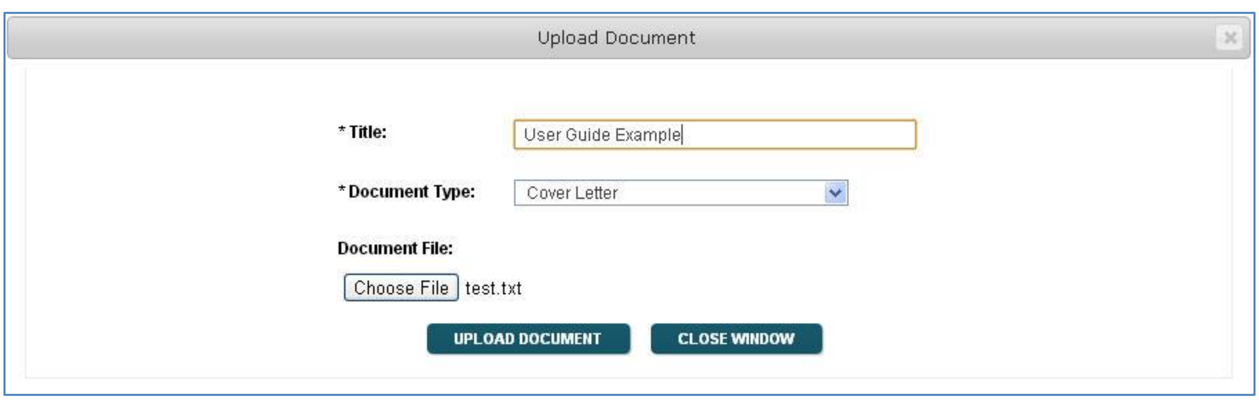

Figure 7.5: Upload Document Pop-up with Path to Chosen Document

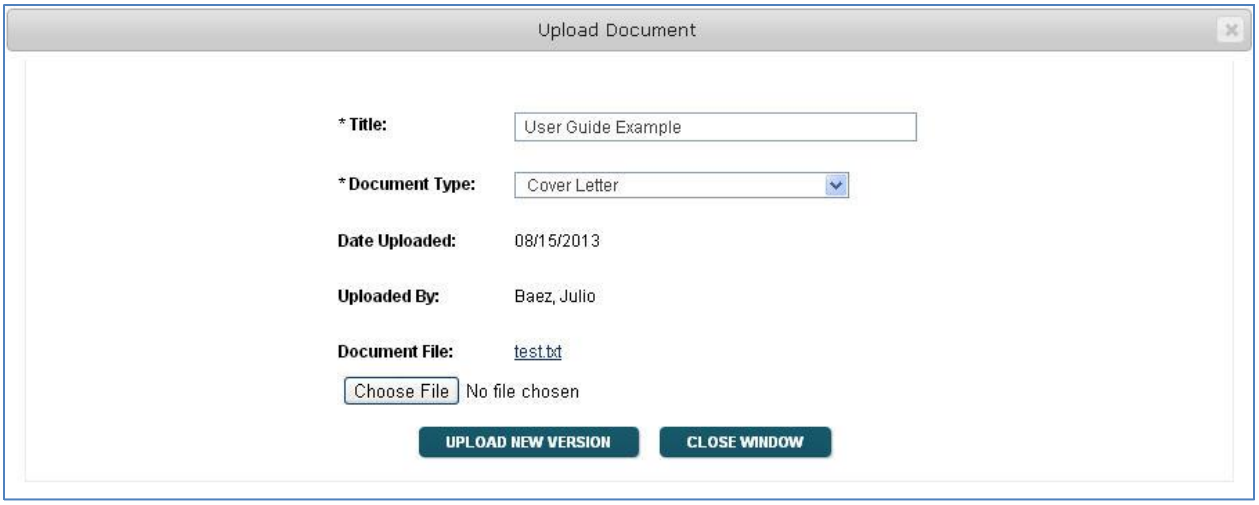

Figure 7.6: Upload Document Pop-up after Upload

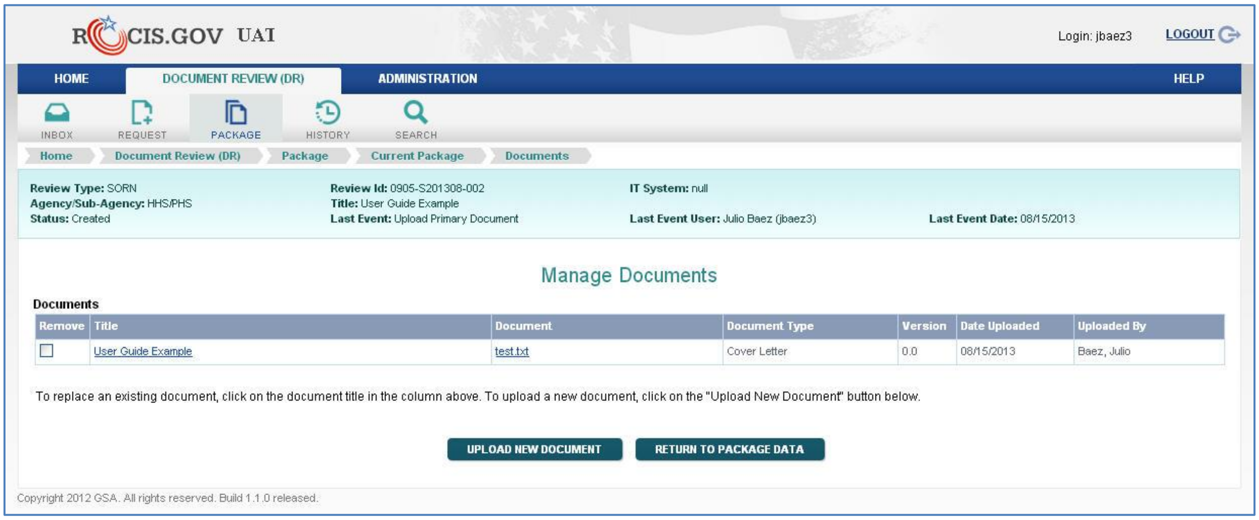

Figure 7.7: Manage Documents Screen with Cover Letter Uploaded

There is also now a box under the 'Remove' column. Should you want to delete this document, check the box by clicking on it, and then hit 'Enter' on your keypad. The document will be deleted from the ROCIS system.

If you find that you want to replace an already uploaded document, click on the document name. This method will allow you to replace the document. You should never have more than one version of each document type associated with your SORN request.

After you have uploaded all of your documents, return to the package by using the button provided. You will again be at the 'Edit SORN Request' screen.

8. HOW TO Create and Edit an MA Package

When you are ready to create an MA Package, choose ‘Request’ from the Home Row. You will see a drop down list with two items, ‘System of Records Notice (SORN)’ and ‘Matching Agreements (MA)”. Select the MA option by highlighting it with your mouse and left-clicking once.

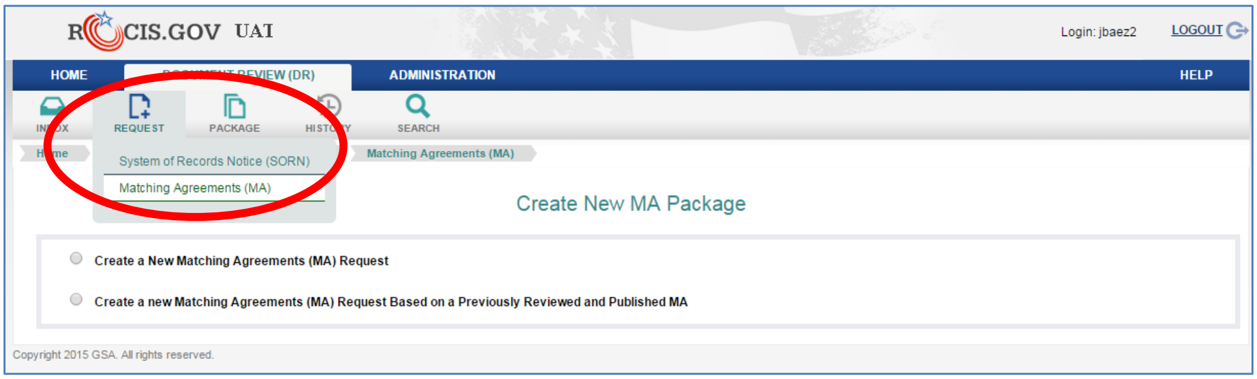

Figure 8.1: Create New MA Package Selection Screen

You will be presented with a new screen, showing two ways to create an MA package. The first option is used when creating a new MA package with no MA related Review ID.

The second option is used when creating a new MA package related to a previously reviewed MA that has already been reviewed by OIRA through the ROCIS system and published in the Federal Register. The OIRA conclusion action must be either ‘Reviewed with Change’ or ‘Reviewed without Change’—it cannot be ‘Improperly Submitted’ or ‘Withdrawn’. When choosing this option, a new MA request will be created for the same agency/subagency as the related MA, and many data items from the related MA request will be copied into the new request.

To discuss all of the data items for an MA request, the first option will be selected for this example.

After choosing to create a new MA package, the screen below will be displayed. Users must select an agency, a subagency if appropriate, and enter a title and abstract.

Whenever ROCIS supplies a drop down list of values from which to choose, there is a small arrow at the end of the input box. For agency and subagency, ROCIS will display the values that the user is authorized to access.

Matching sets of upward and downward pointing arrows indicate that the input box allows scrolling. So, for example, if the abstract entered is greater than can be displayed in the box, the user can scroll up or down through the text.

Notice the three buttons underneath the Abstract text area. A user can check spelling of text items using the 'Check Spelling' button, save the data entered to date and create a new MA request with the 'Create' button, or erase unsaved data with the 'Cancel' button.

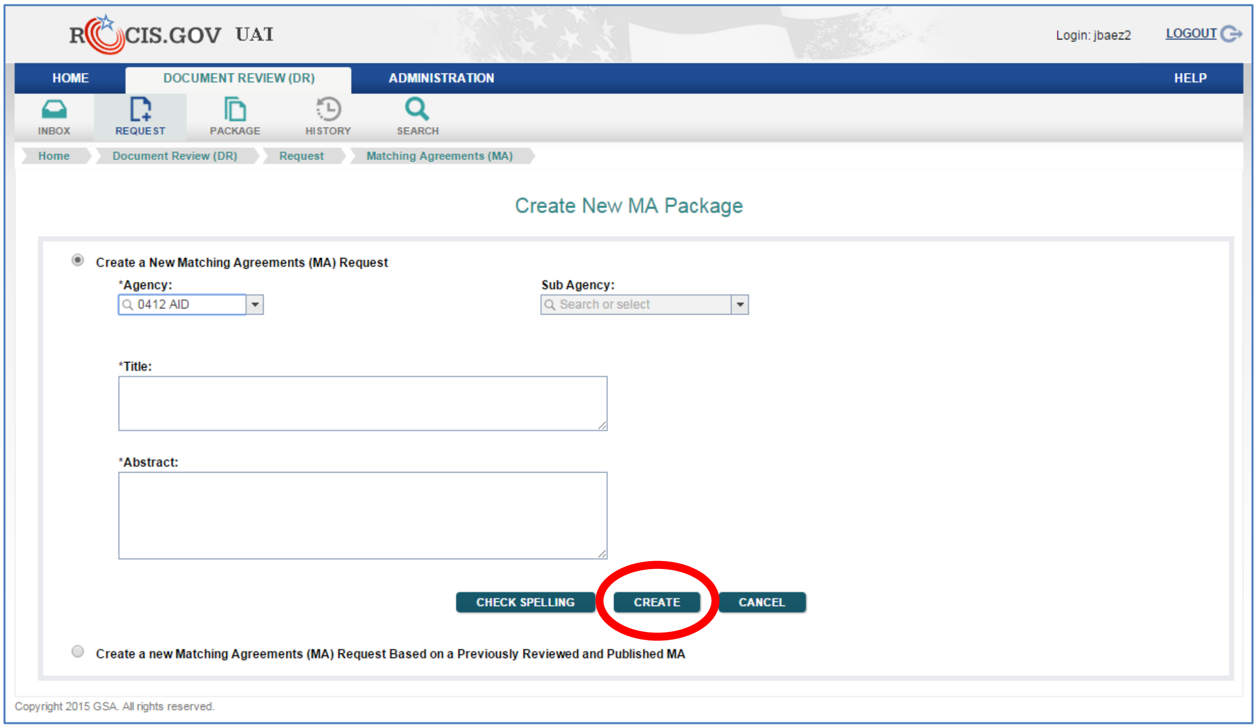

Figure 8.2 Create New MA Package Data Entry Screen

After the request has been successfully created, the user is transferred to the 'Edit MA Request' screen. The agency or subagency number and acronym are displayed, as well as the unique MA Review ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also at the top of the screen is a link to the 'Manage Documents' portion of the MA process. That will be discussed under the 'Upload Documents' topic in the manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

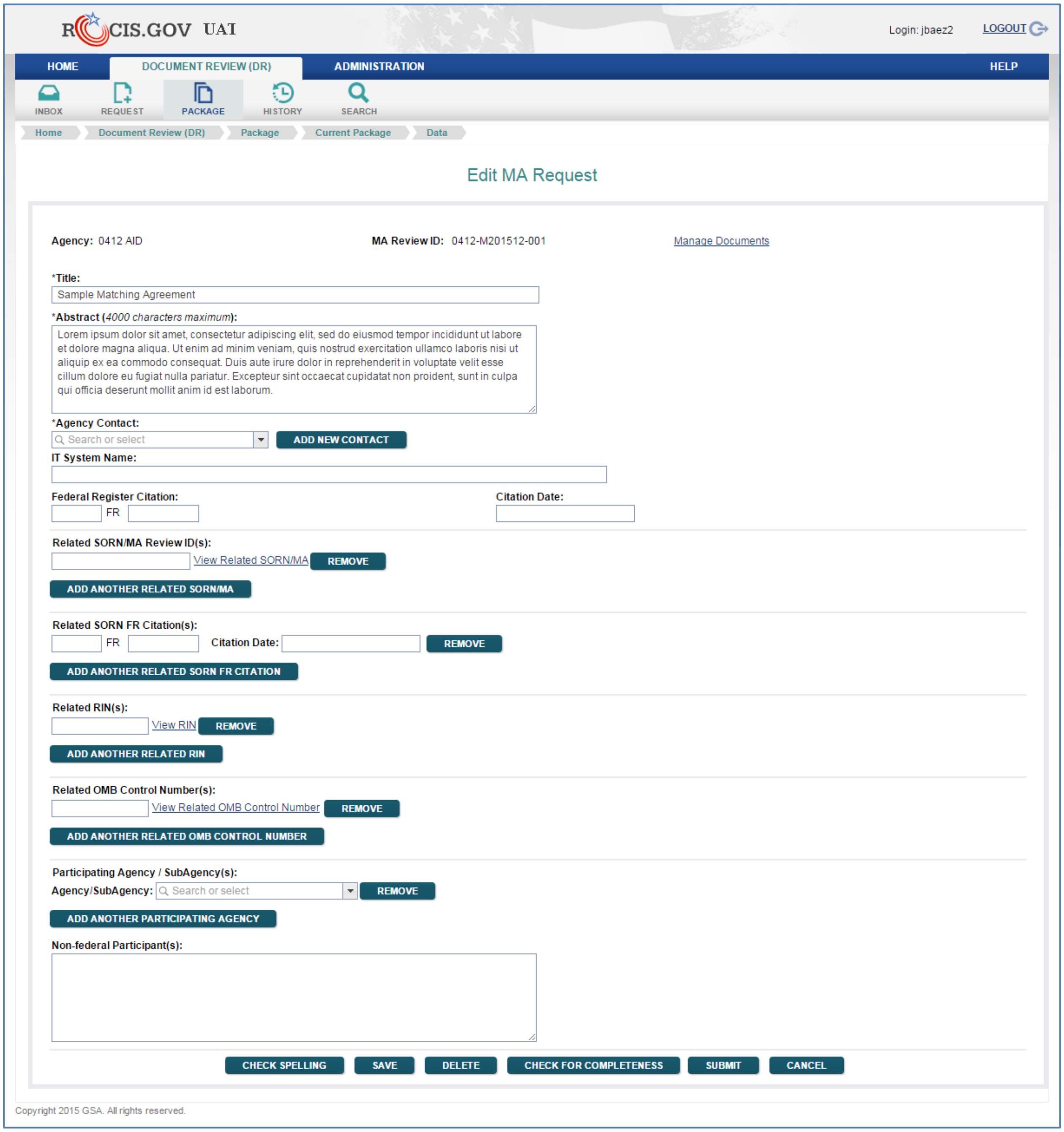

Figure 8.3: Edit MA Screen

Title and Abstract are required data items. They may be changed on this screen.

Agency Contact is required: This should be the individual that the OIRA desk officer can contact with any questions about the MA request. If the user clicks on the arrow at the end of the input box, ROCIS will display a list of others from the organization that have been identified as contacts in ROCIS previously. If the name of the appropriate individual appears in the list, simply highlight the name, and ROCIS will select that person. If the name of the individual is not in the list, the user can create a new contact by selecting the ‘Add New Contact’ button.

See section 6, “HOW TO Create and Edit a SORN Package”, for information on how to manage contacts in ROCIS.

Related SORN/MA Review ID: Conditional field which contains an MA Review ID for a request that was previously reviewed by OIRA and has a publication date indicating that it has appeared in the Federal Register. An MA request can only be related to another MA or SORN review if they are for the same agency or subagency. Related SORN/MA Review ID is required when no Related SORN FR Citation has been entered.

Related SORN FR Citation: Conditional field which contains the FR citation for a SORN that has been published in the Federal Register. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950. Related SORN FR Citation is required when no Related SORN/MA Review ID has been entered.

The remaining data items on this screen are optional.

IT System Name: Please enter the name of the system to which this MA applies.

Federal Register Citation and Citation Date indicate when the MA in question was published in the Federal Register. If the request is submitted to OIRA at the same time that the notice is sent to the Federal Register, this data will not be available until after the review is concluded. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950.

Related RIN(s): Optional field to indicate that this request is related to a rulemaking that has been entered into the Unified Agenda and assigned a Regulatory Identification Number (RIN) A Related RIN can be any valid RIN, regardless of Agency.

Related OMB Control Number(s): Optional field to indicate that this request is related to a submission under the Paperwork Reduction Act that has been assigned a valid OMB Control Number. A Related OMB Control Number can be any valid OMB Control Number, regardless of Agency.

Participating Agency/Subagency(s): Optional field to indicate the federal agencies participating in the MA. One or more agencies can be selected from a drop-down list and added to the MA request.

Non-federal Participant(s): Optional field to indicate the non-federal parties participating in the MA. Enter the names of the non-federal participants in the space provided.

At this point, all of your data should be saved by selecting the 'Save' Button. (Data can be saved at any time during the editing process). You will then be ready to add the necessary documents to your request.

9. HOW TO Electronically Attach (Upload) MA Documents

To upload (electronically attach) the required documents, move to the top of the 'Edit MA Request' screen and click on the link to 'Manage Documents'. Or, mouse over 'Package' on your tab row, mouse over 'Current Package' from the drop down list, and then click on 'Documents'.

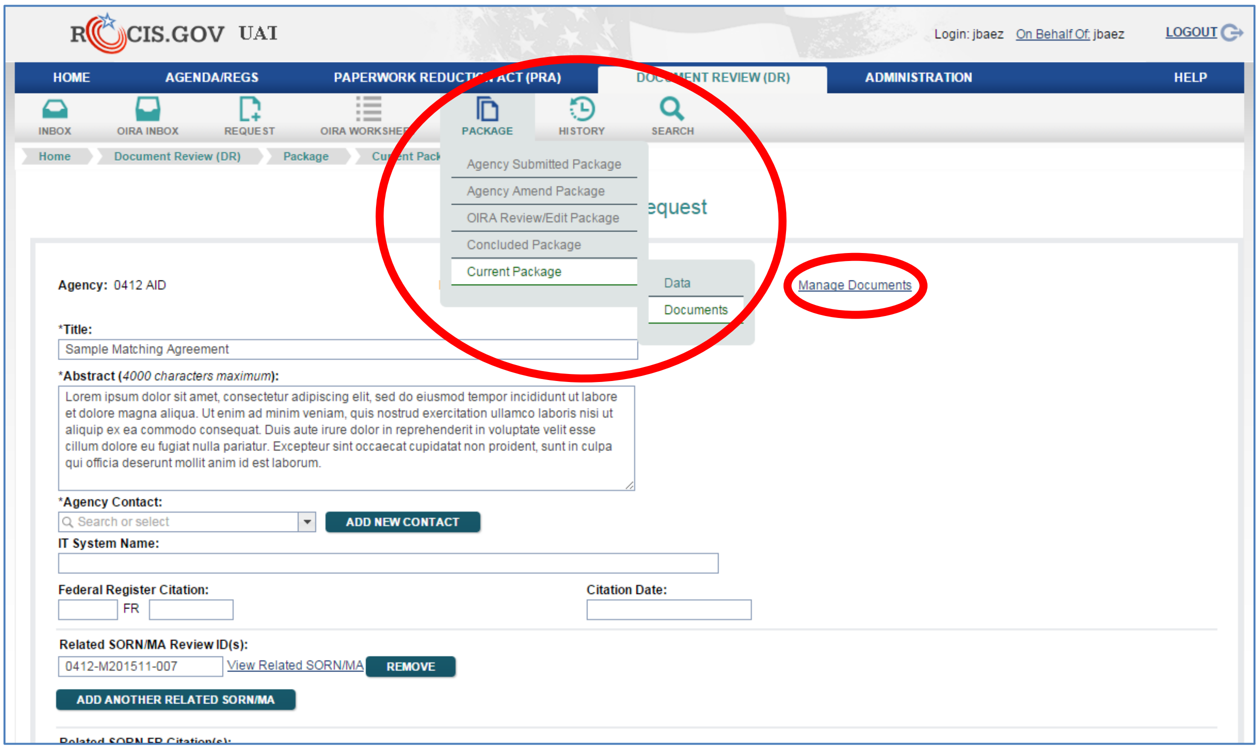

Figure 9.1: Edit MA Request with Paths to 'Manage Documents'

With either method, the user will be presented with a new screen from which to load documents.

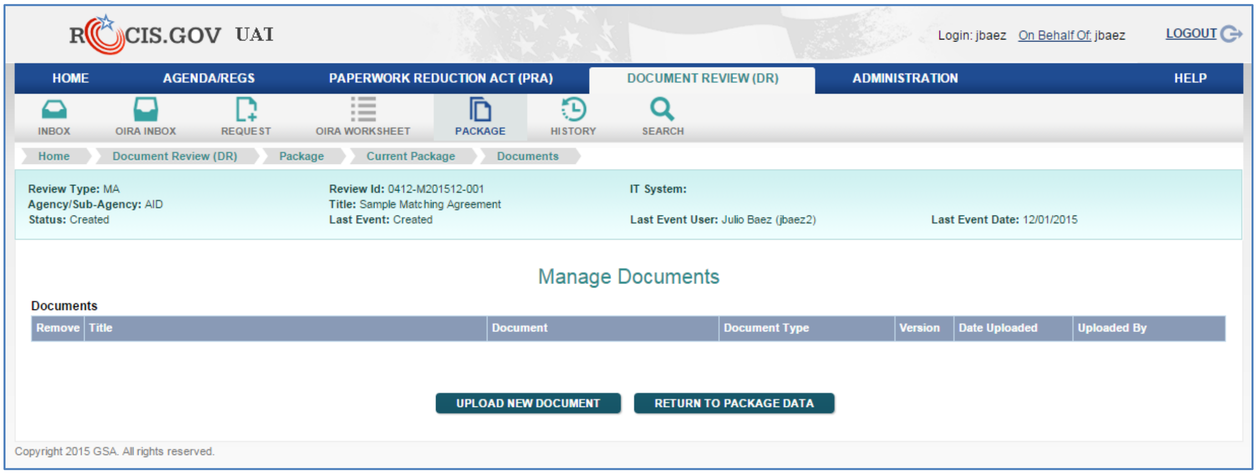

Figure 9.2: Manage Documents Screen

Every MA request requires a Cover Letter, a Narrative, a Matching Agreement and a Draft Federal Register (FR) Notice. However, the Cover Letter and Narrative can be merged into a single document file. Details on what each type of document should contain can be found in Appendix A.

To upload a new document, click on the button with that label. A new pop-up window will appear, prompting the user for a title and the corresponding document type. The user will select the document type from the drop down list provided.

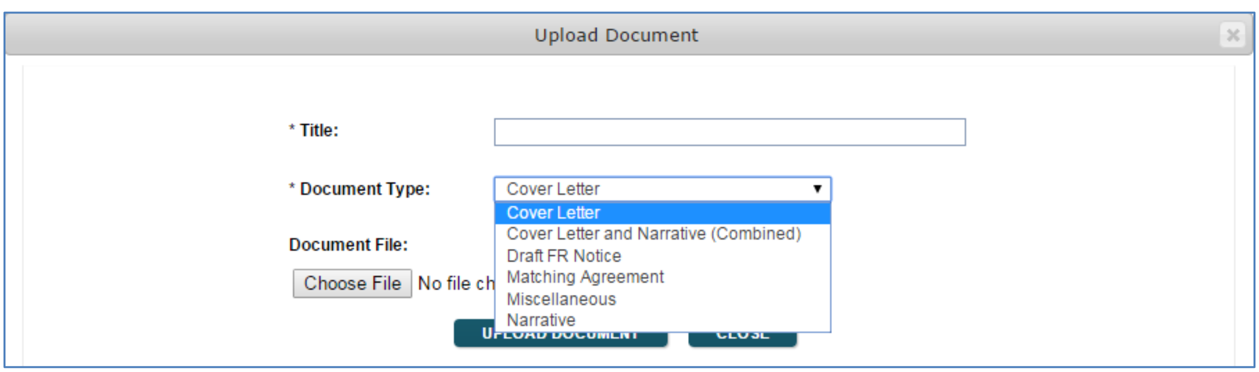

Figure 9.3: Upload Document Pop-up Screen

The third field is for the name of the file that you want to upload. Click the ‘Browse’ button, and ROCIS will allow you to browse files on your local computer to find the right document. Once you have found it, simply click on the file name and it will appear in the window. Next, click the ‘Open’ button, and the path to the document will appear in the ROCIS window. Finally, click the ‘Upload Document’ button, and ROCIS will attach the file electronically to your submission.

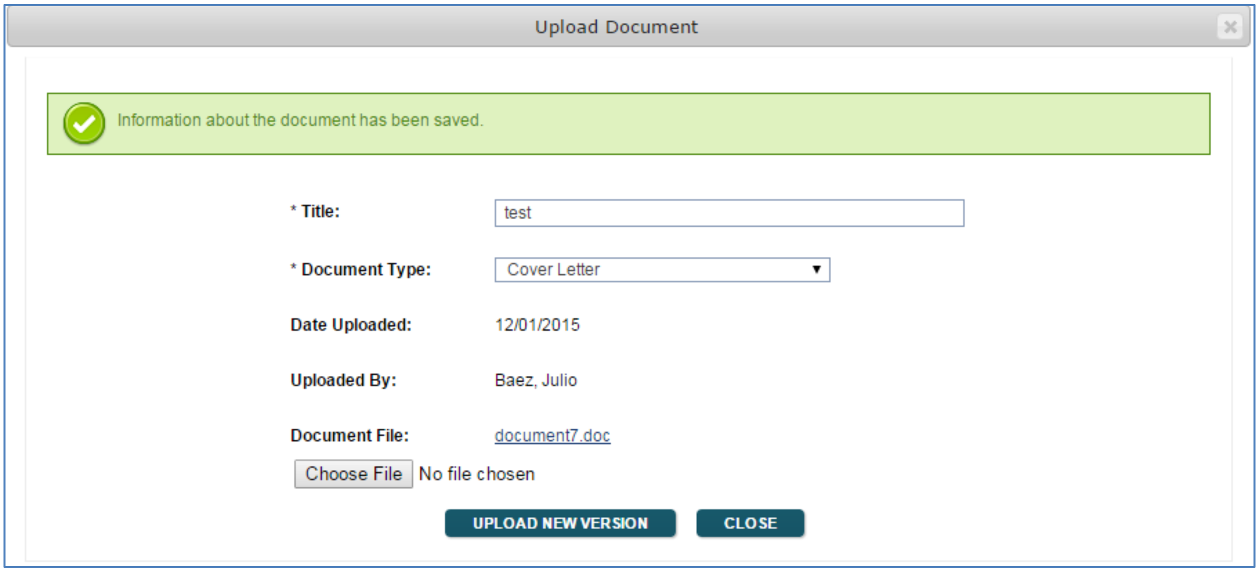

Figure 9.4: Upload Document Pop-up after Upload

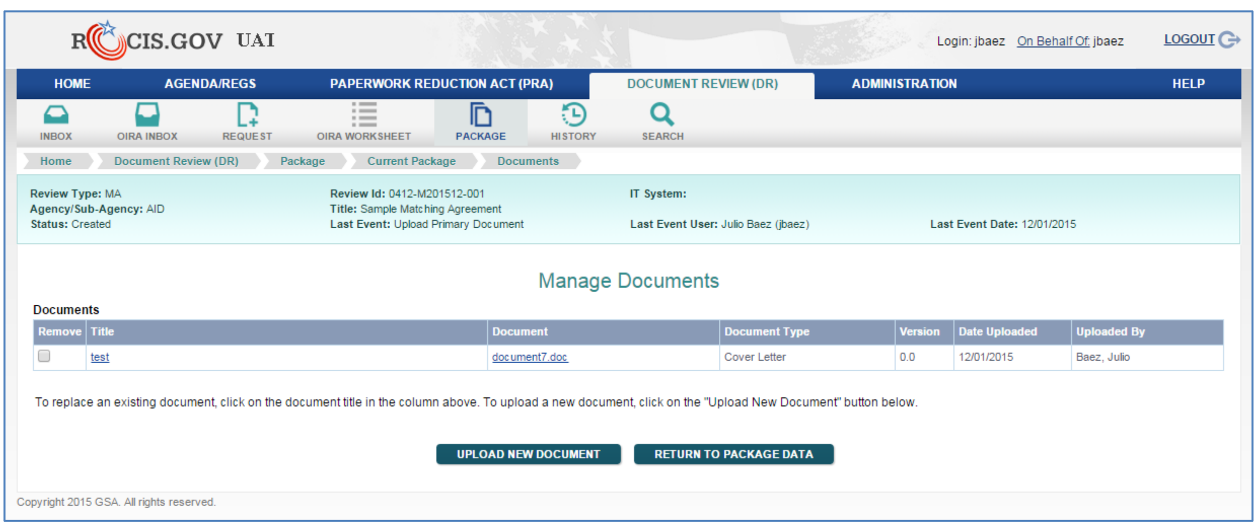

Figure 9.5: Manage Documents Screen with Cover Letter Uploaded

There is also now a box under the ‘Remove’ column. Should you want to delete this document, check the box by clicking on it, and then hit ‘Enter’ on your keypad. The document will be deleted from the ROCIS system.

If you find that you want to replace an already uploaded document, click on the document name. This method will allow you to replace the document. You may have more than one Miscellaneous documents associated with your MA request. Only 1 version of the other document types are allowed.

After you have uploaded all of your documents, return to the package by using the button provided. You will again be at the 'Edit MA Request' screen.

10. HOW TO Submit a SORN/MA Request

After entering all required data and uploading the necessary documents, you may want to perform a 'Check for Completeness' by selecting the button with that label at the bottom of the 'Edit SORN Request' or 'Edit MA Request' screen. ROCIS will do a validation of the data and documents. The result of the validation will be displayed at the top of the screen. ROCIS will either advise you that the request is complete, or notify you to provide information on what is missing.

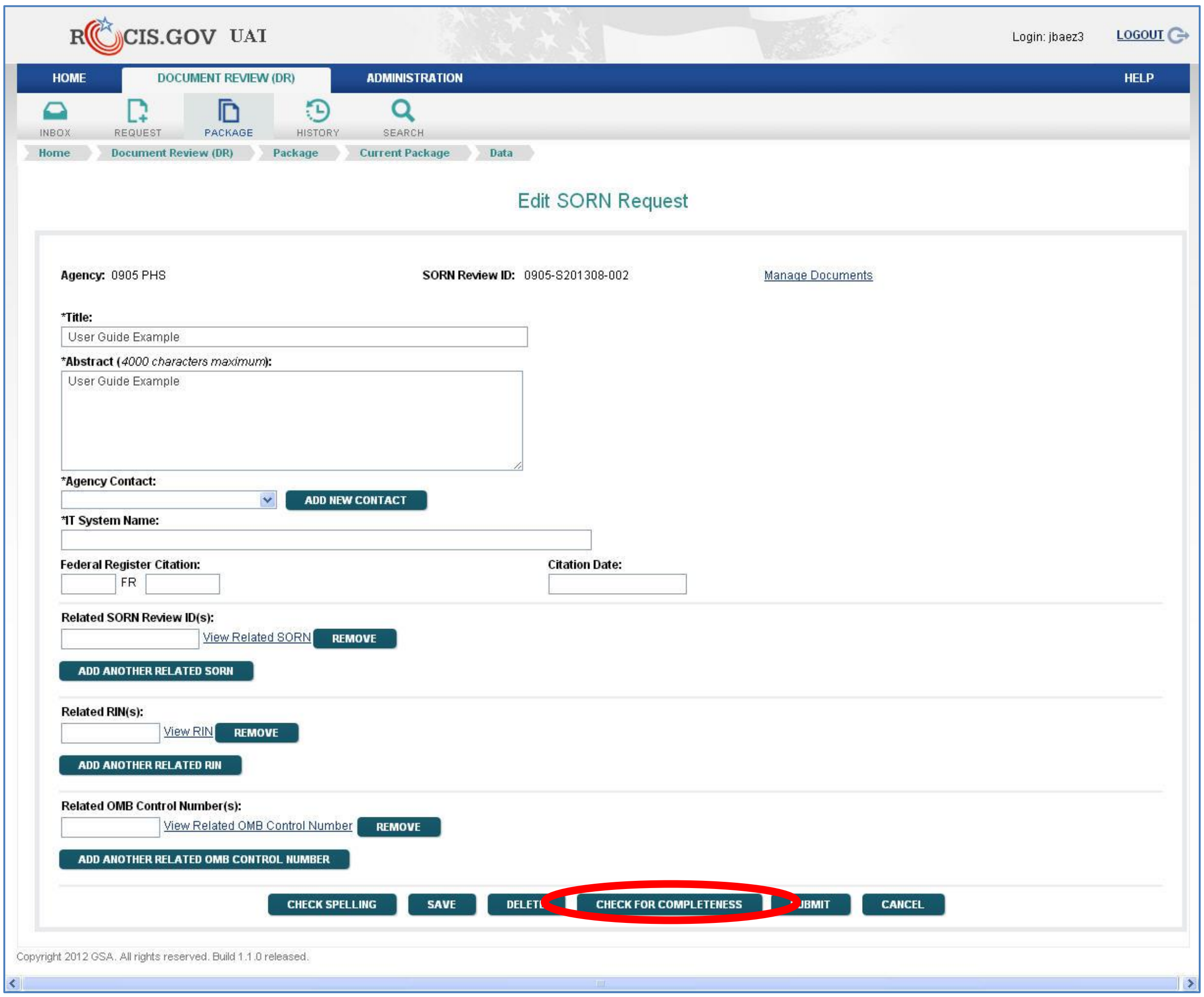

Figure 10.1: Edit SORN Request 'Check for Completeness' Button

The request is now ready to be submitted. Whether the 'Submit' button is available on your screen depends on your level of access to the DR module. If you do not have the 'Submit' button, save your request and notify an Senior Privacy Officer (SPO) at your organization that the request is ready to be submitted to OIRA. If you do not know who has SPO privileges, refer to the section on Employee Administration to perform a search by agency and role.

If the 'Submit' button does appear on your screen, simply select it. ROCIS will respond with a message asking if you want to submit on behalf of the SORN Senior Privacy Officer for your agency. If everything looks fine, click 'OK'. The request will immediately be submitted to OIRA, and you will be transferred to your 'Submitted Request List'.

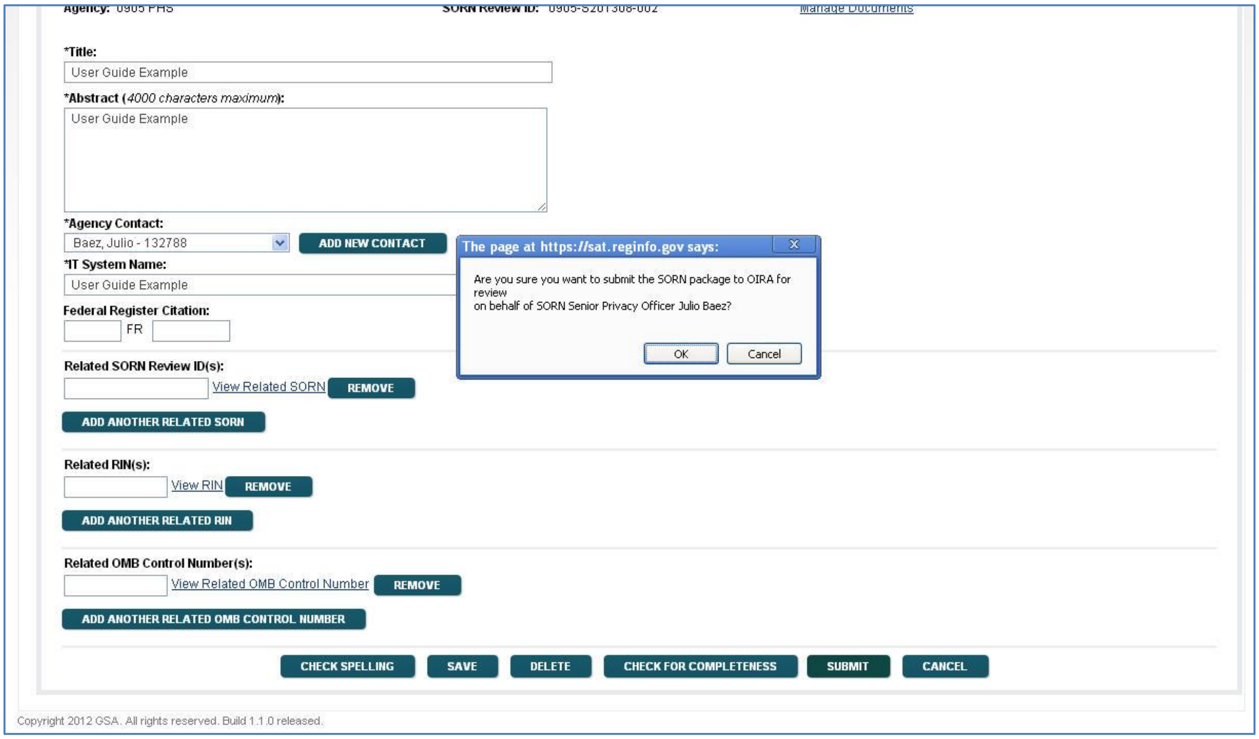

Figure 10.2: Edit SORN Request Screen with Submit Verification Message

Figure 10.3: Submitted Request List Screen

11. The Review Process and Open/Close for Amendment

When the SORN/MA request is submitted, the ROCIS system saves the agency submission (request data and documents), and that submission record is never altered. Instead, at the same time, the system makes an exact copy of the submission and provides it to OIRA. While the SORN/MA package is under review, OIRA may request that the agency make changes to the submission. These changes will be made to the OIRA copy of the record. In order for the agency to make changes to the OIRA version of the submission, an OIRA desk officer must open the record for amendment. Such an action on the part of OIRA will show as a change of status in the submitted box for the agency. The status will be changed to ‘Open for Amendment’. Once a request has this status, the agency can operate on the submission by clicking on either the status or the Review ID in the submitted list, and make the changes discussed with OIRA.

You will see the change to ‘Open for Amendment’ in the status column of the request in your ‘Submitted’ box.

Figure 11.1: Submitted Request List Screen

To make changes to the package, select it by clicking on the Review ID.

Not every item can be changed when a submission is opened for amendment. Items that cannot be changed will appear in gray. Except for these items, users can make any data changes.

Users may also upload new versions of documents while the package is ‘Open for Amendment’. You should always upload new versions of existing documents, rather than uploading new documents. Uploading new documents will result in duplicates of document types. Your request cannot be resubmitted if it contains, for example, more than one cover letter with the same version number. To upload a new version, click on the document name. The process to browse your local desktop files will be the same as it was before. When the new document is uploaded, it will show as another version of the same type of document.

When the necessary changes to the review package have been made, an SPO should select the 'Resubmit' button at the bottom of the 'Edit SORN Request' or 'Edit MA Request' screen. This will change the status to 'Close for Amendment', thus notifying the OIRA desk officer that the changes are completed. The OIRA desk officer also has the ability to change the status to 'Close for Amendment'.

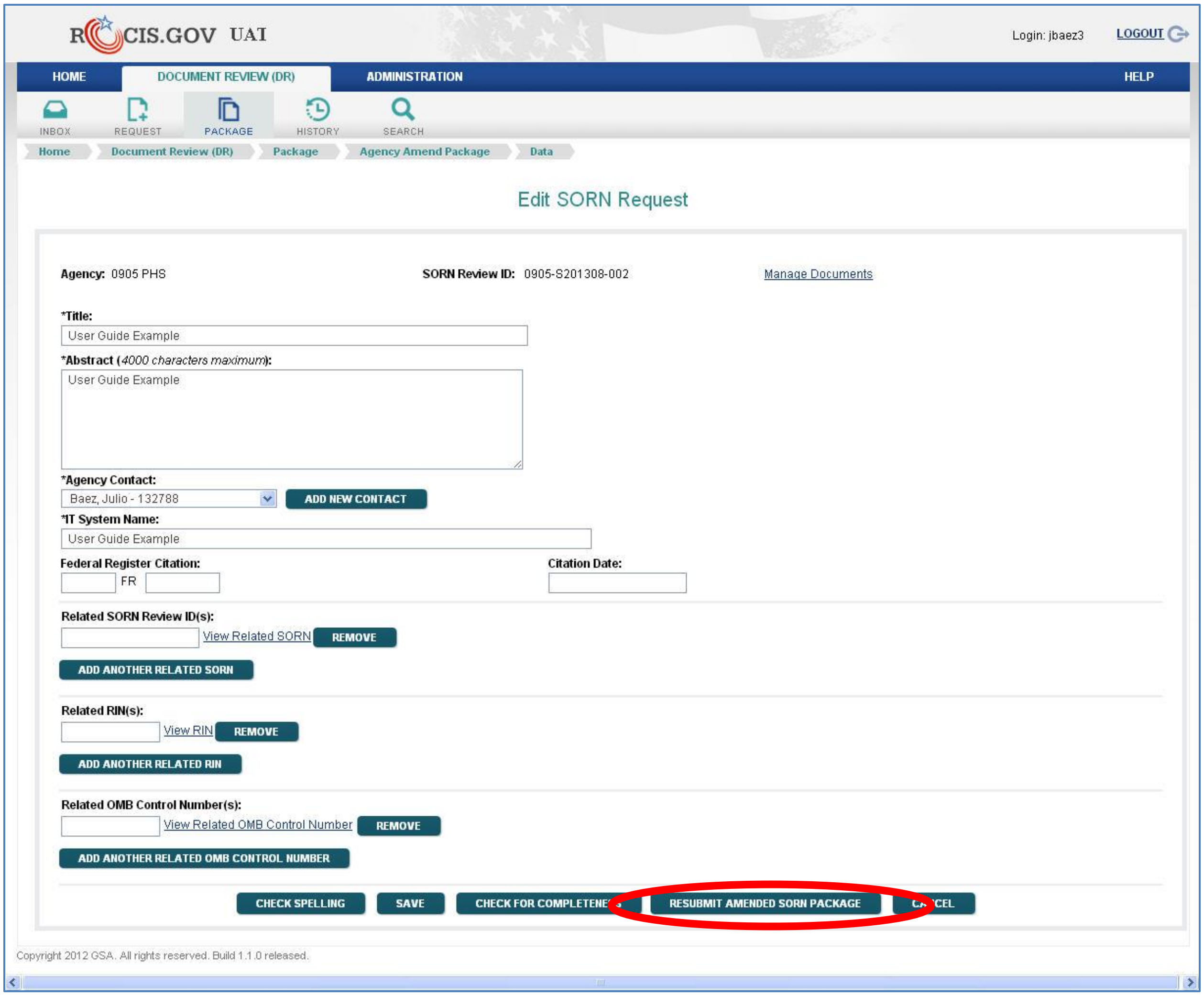

Figure 11.2: Edit SORN Request Screen with Resubmit Button

ROCIS will automatically transfer you back to your 'Submitted' list, where you can view the change in status.

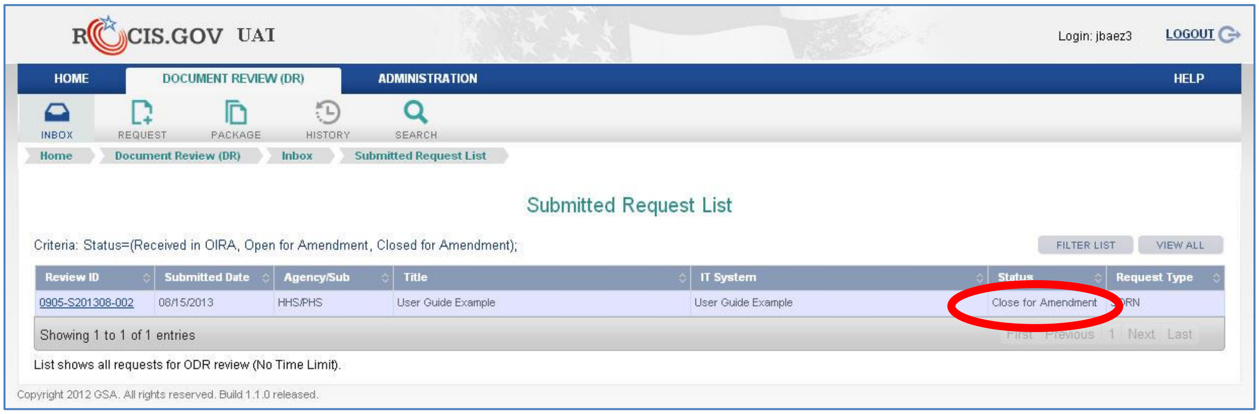

Figure 11.3: Submitted Request List Screen

Once the status is changed to 'Closed for Amendment', the modifications made to the OIRA record will no longer be viewable by the agency. When an agency user views the submission, the user will be looking at the original version of the submission, not the modified copy 'belonging' to OIRA. That will be true until the review is concluded by OIRA. Once the review is concluded, the OIRA version of the record will become the default displayed version of the review. However, the agency can always choose to look at the original submission by going to the Package tab and choosing the 'Agency Submitted Package' option.

12. The Conclusion Process

When OIRA concludes review of the SORN/MA submission, ROCIS will display the submission in the agency's Concluded Inbox for 30 days. The agency can review all the information on the concluded review by clicking on the Review ID.

OIRA can conclude the review with any of a number of actions. These include:

- Reviewed without Change—the request was reviewed by OIRA, and no substantive changes were necessary
- Reviewed with Change—the request was reviewed by OIRA and changes were made by the agency to the submission
- Improperly Submitted—OIRA determined that the request was not appropriate for OIRA review
- Withdrawn—the submitting Agency asked that the request be withdrawn from consideration

13. How to Add a Federal Register Citation to a Concluded Request

Normally, the SORN/MA will be published in the Federal Register either while the request is under review by OIRA or after the review is concluded. It is important that the FR citation be added to the concluded package.

The FR citation may be added to a previously reviewed package by an agency SORN user with a role of SORN Publication Updater (SPU). If there is no user at your agency that has this role, you should have your SORN Administrative Contact call the ROCIS Help Desk to make arrangements to have someone fill this role.

An SPU locates the appropriate package either in the concluded box or via a simple search. Click on the Review ID, and ROCIS will display the OIRA Conclusion Screen. The data items for publication volume, page number and date will be shown as entry boxes. Enter the publication information, and select the 'Add FR Publication Data' button. Be sure that the data is correct, since once the 'OK' is selected and the data is entered, it cannot be changed. If incorrect citation data is entered and processed by ROCIS, please call the ROCIS Help Desk at 866-450-5250 to ask for assistance from the ROCIS technical team.

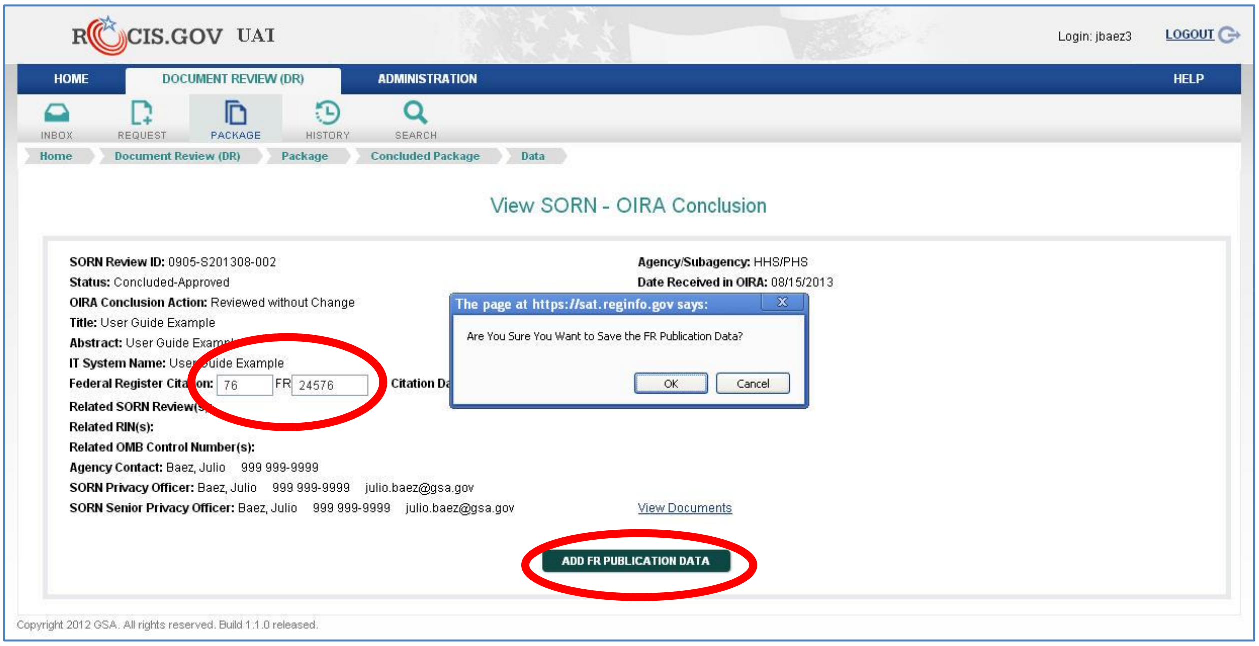

Figure 11.1: OIRA Conclusion Screen with FR Citation and Verification Message

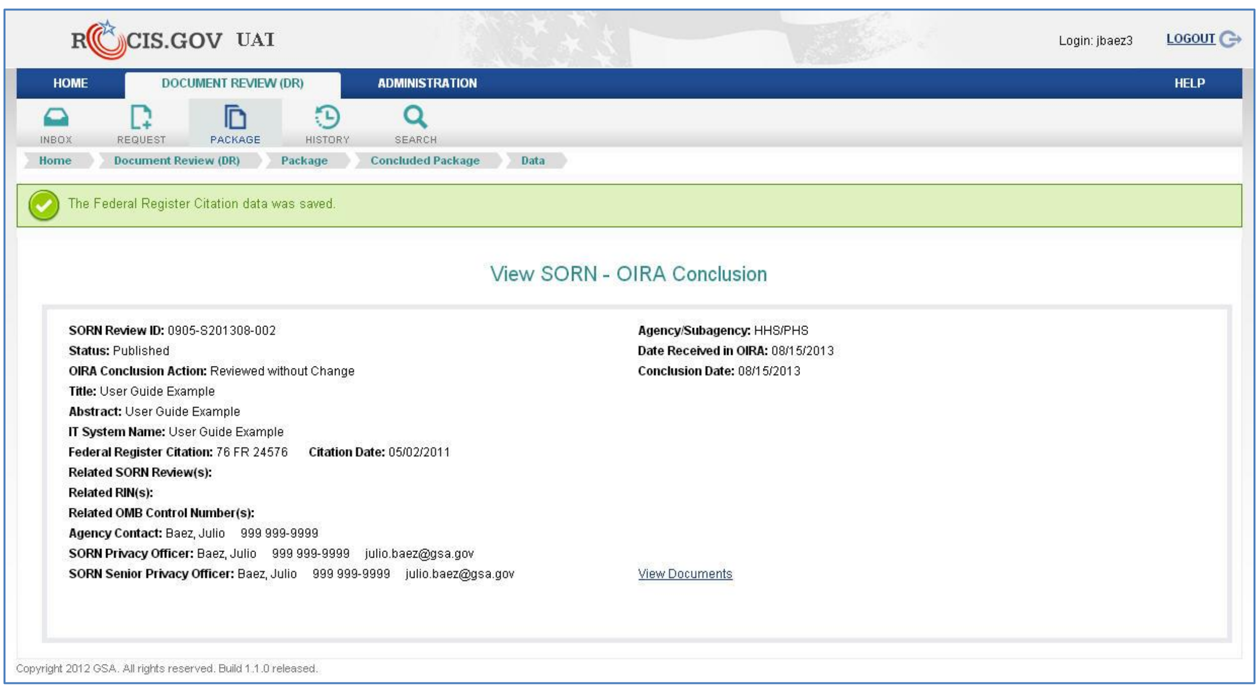

Figure 11.2: OIRA Conclusion Screen with Confirmation of Citation Data

Appendix A: Required Documents

Contents of the New or Altered System Report.

The report for a new or altered system has three elements: a cover letter, a narrative statement, and supporting documentation (the draft Federal Register Notice).

(a) Cover Letter. The cover letter should be signed by the senior agency official responsible for implementation of the Privacy Act within the agency and should contain the name and telephone number of the individual who can best answer questions about the system of records. The letter should contain the agency's assurance that the proposed system does not duplicate any existing agency or government-wide systems of records. The letter sent to OMB may also include a request for waiver of the time period for the review. The agency should indicate why it cannot meet the established review period and the consequences of not obtaining the waiver. There is no prescribed format for the letter.

(b) Narrative Statement. There is also no prescribed format for the narrative statement, but it should be brief. It should make reference, as appropriate, to information in the supporting documentation rather than restating such information. The statement should:

1. Describe the purpose for which the agency is establishing the system of records.
2. Identify the authority under which the system of records is maintained. The agency should avoid citing housekeeping statutes, but rather cite the underlying programmatic authority for collecting, maintaining, and using the information. When the system is being operated to support an agency housekeeping program, e.g., a carpool locator, the agency may, however, cite a general housekeeping statute that authorizes the agency head to keep such records as necessary.
3. Provide the agency's evaluation of the probable or potential effect of the proposal on the privacy of individuals.
4. Provide a brief description of the steps taken by the agency to minimize the risk of unauthorized access to the system of records. A more detailed assessment of the risks and specific administrative, technical, procedural, and physical safeguards established shall be made available to OMB upon request.
5. Explain how each proposed routine use satisfies the compatibility requirement of subsection (a)(7) of the Act. For altered systems, this requirement pertains only to any newly proposed routine use.
6. Provide OMB Control Numbers, expiration dates, and titles of any information collection requests (e.g., forms, surveys, etc.) contained in the system of records and approved by OMB under the Paperwork Reduction Act. If the request for OMB clearance of an information collection is pending, the agency may simply state the title of the collection and the date it was submitted for OMB clearance.

(c) Draft Federal Register Notice. Attach the following to all new or altered system of records reports:

1. A copy of the new or altered system of records notice consistent with the provisions of 5 U.S.C. 552a(e)(4). The notice must appear in the format prescribed by the Office of the Federal Register's Document Drafting Handbook. For proposed altered systems the agency should supply a copy of the original system of records notice to ensure that reviewers can understand the changes proposed. If the sole change to an existing system of records is to add a routine use, the agency should either republish the entire system of records notice, a condensed description of the system of records, or a citation to the last full text Federal Register publication.

2. A copy in Federal Register format of any new exemption rules or changes to published rules (consistent with the provisions of 5 U.S.C. 552a(f),(j), or (k)) that the agency proposes to issue for the new or altered system.

Appendix B: SORN Agency Roles

There are five roles within ROCIS that are specifically associated with the agency portion of the SORN module:

SORN Preparer (SP) – This individual can create and update SORN and MA requests. To obtain a ROCIS account, he has to go through his agency's SORN Administrative Contact (see role description below) and sign a security agreement.

SORN Privacy Officer (SPO) – This individual can do everything that a SORN Preparer can. He can also submit a request to OIRA for review on behalf of the agency SORN Senior Privacy Officer (SSPO). To obtain a ROCIS account, the SPO must go through the agency's SORN Administrative Contact and sign a security agreement. Additionally, the ROCIS technical team must receive an email from the agency SSPO, delegating the SSPO's authority to the new SPO to submit requests to OIRA. **Each agency must have at least one of these.**

SORN Administrative Contact (SAC) – This person is the primary point of contact for an agency with regard to new accounts. If someone from an agency wants an account with access to the DR module, the request must be made through the SORN Administrative Contact. The SAC will inform the ROCIS technical team of whether the new user will be an SP or an SPO and, if applicable, the subagencies within the agency to which the user should have access (this applies mostly to Cabinet agencies and EPA). **Each agency must have at least one of these.**

This SAC role actually has no ROCIS privileges associated with it, so the SAC is not a user and there are no requirements for a security agreement or training. However, in practice, almost all SACs are also SPOs, and all of the conditions for an SPO apply to them.

A change in an agency SAC is normally handled by the outgoing SAC, who notifies the ROCIS technical team of his replacement. If there is any question about who the SAC for an agency is, the ROCIS technical team will request an email from the SSPO naming the new SAC.

SORN Senior Privacy Officer (SSPO) – This person is ultimately responsible for verifying the accuracy and completeness of the information contained in each of the agency's SORN and MA submissions. Every SORN and MA request submitted in ROCIS carries the SSPO's identifying information, along with a notation of who submitted the request on the SSPO's behalf (that is, the name of the SPO who actually submitted the request to OIRA).

The SSPO is responsible for delegating authority to agency SPOs, and, when necessary, naming the agency's SAC. **Each agency must have at least one of these.**

SORN Publication Date Updater (SPU) – A person with this role is allowed to add a publication citation to a previously reviewed SORN or MA request. This role may be the only one an individual has, or it may be combined with any of the roles described above. **Each agency must have at least one of these.**